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ABSTRACT

Materials in this collection were submitted by respondents to a survey which sought specific data on the numbers and types of approval plans in Association of Research Libraries (ARL) libraries, whether such plans are meeting expectations, their relative importance in the library, who makes the key decisions, and the kind of thought and study that preceded adoption, rejection, or alteration of an approval plan. Included are a copy of the survey questionnaire with a tally of responses from 101 libraries; a list of vendors that sell materials to libraries on an approval basis; questions and statements of criteria for evaluating vendors of approval plans from the University of Cincinnati, Brown University, and Stanford University; analyses, studies, and statistics on approval plans proposed or in use at Brown University, Texas A & M University, the University of Texas at Austin, Temple University, the University of Michigan, Michigan State, and Stanford University; and general comments, program descriptions, and guidelines relating to approval plans from the University of Toronto, Dartmouth College, the University of Virginia, Queens University, Florida State University, the University of Miami, the University of Michigan, Northwestern University, Ohio State, and the University of North Carolina. (JL)

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April 1982
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Approval Plans in ARL Libraries

Kit 83

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APPROVAL PLANS IN ARL LIBRARIES

SPEC KIT #83

APRIL 1982

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OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

November 10, 1981

TO: SPEC Liaisons

FROM: Thomas W. Leonhardt, Acquisitions Dept. Head, Duke University
Maxine K. Sitts, Information Services Specialist

RE: SPEC Survey on Approval Plans

Again, we ask your cooperation for a SPEC research effort. Please see that the appropriate staff member fills out the attached survey, and that it is returned by December 30, 1981. This is one of four surveys for this time period that will yield 12 SPEC Kits.

In working with a number of ARL members conducting Collection Analysis Projects, we have seen a growing effort to analyze and rethink approval plans as a part of collection management. Libraries are weighing the value of approval plans in a time of restricted purchasing power and increased publishing activities, and many members are looking at the levels of use of materials which are initially selected outside the library.

This survey does not deal with the daily mechanics of approval plans. Instead, we are interested in some specific data on the numbers and types of approval plans in ARL libraries, and justification for having or not having plans. We also want to explore whether approval plans are meeting expectations, and the relative importance of approval plans to your library. In addition, we are asking who makes the key decisions involving approval plans, and what kind of thought and study preceded adoption, rejection, or alteration of an approval plan.

We have included some general questions requiring narrative replies, for respondents who feel restricted by "yes" and "no" answers, to enable you to clarify ambiguous points encountered earlier. The survey results will be used for a Spring 1982 SPEC kit/flyer, and documents collected will be available for loan to ARL members.

Deadline for this survey is December 30, 1981. Please feel free to call either OMS or Tom Leonhardt, who is working with us as a Collaborative Research Writer, at 919/684-2263 if you have questions.

Thanks for your cooperation.

RETURN TO:

APPROVAL PLAN SURVEY
THOMAS W. LEONHARDT
LIBRARY, ACQUISITIONS DEPT.
DUKE UNIVERSITY
DURHAM, NC 27706

OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

November 10, 1981
DUE: December 30, 1981

RESPONDENT NAME BASED ON 101 RESPONDENTS

PHONE NUMBER (AC)__________

LIBRARY __________

SPEC SURVEY ON APPROVAL PLANS

For purposes of this survey, an approval plan is defined as an acquisition plan with some dealer selection of materials and return privileges.

FOR LIBRARIES WITH APPROVAL PLANS (LIBRARIES WITHOUT PLANS, TO PAGE 3)

1. How many approval plans does the library have?

	TOTAL	AVERAGE	MEDIAN
Domestic	285	3	2
Foreign	631	10	3

2. What type(s) of plan(s) does the library have? Indicate number of TOTAL each.

	TOTAL LIBRARIES	TOTAL PLANS
University press books	35	159
General subject approval plan with one having 190)	66	614
Publisher approval plan	31	119
Others (please specify)	39	146

3. What do approval plans cost each year (materials only)?

	MEDIAN	AVERAGE
Domestic	$ 80,500	$107,171
Foreign	$ 35,000	$ 85,662

Approximately what percent of the total library materials budget does this cost represent?

MEDIAN	AVERAGE
8.9%	9.7% %

Library ______________

4. Why did the library decide to institute approval plans? Check as many as applicable and ENCLOSE MATERIALS that describe the library's reasons and justification:

	TOTALS
Staff savings	66
Broader base of coverage for selection	56
Efficiencies in processing	73
Improved collection development	64
As response to increase in library materials budget	18
Other (please specify)	
Faster acquisitions	7
Dollar savings	2
Reduce faculty selection	1

5. With which vendors does the library have approval plans? Please list.

SEE LISTING THAT FOLLOWS

6. What are the advantages of approval plans for the library? Please list or ENCLOSE MATERIALS that discuss the issue.

SEE NEXT PAGE

6. WHAT ARE THE ADVANTAGES OF APPROVAL PLANS FOR THE LIBRARY?

(Individual answers are informally grouped by emphasis: Staff/Time Considerations, Costs, Collection Development, Relationships, and Management Information. As with most such groupings, there are overlaps.)

Staff/Time Considerations

Staff savings.
Allows for more efficient use of selectors' time.
Efficiencies in processing.
Ordering is consolidated with a single vendor.
Returns are facilitated.
Provides continuity and protection against staff turnover.
Helps keep workload even throughout the year.
Less paper work.
Simplifies selection.
Books reach the shelves faster.

Costs

Is a cost efficient means of acquisition.
Lower selection costs.

Collection Development

Easier to collect in limited, specific areas.
Broader base of coverage for selection.
Improves collection development (makes more consistent).
Provides automatic receipt of current imprints.
Provides current imprints quickly.
Provides book in hand selection.
Books are supplied before they go out of print.
Bibliographic control is improved, especially if slips are used.
Profiling is flexible.
Provides comprehensive selection.
Only way to acquire ephemeral and esoteric material on regular basis.
Helps provide general coverage where no specific academic program exists.
Gives selectors a better idea of what is in the whole collection.
Provides coverage in areas where subject expertise is weak.
Captures material for which there is very little bibliographic control.
Less need for retrospective buying each year there is an approval plan.
Essential for collection development in music.
Allows the library to take full advantage of vendor specialties.

Relationships

Fosters faculty participation and is therefore good public relations.
Forces dialogue between acquisitions staff and selecting librarians.
Faculty selection is leveled off.
Librarians are able to assert role in collection development over faculty.

Management Information

Makes the budget more flexible (year end control, projected spendings, etc.).
Annual statistical breakdowns by subject are provided.
Forces review of collection policies and practices
Vendor services (reports, slips, etc.).

7. WHAT ARE THE DISADVANTAGES OF AN APPROVAL PLAN?

(Individual answers are informally grouped by emphasis: Communication/Relationships, Library Procedures, Vendor-Related, and Collection Development.)

Communication/Relationships

Causes delays in ordering current imprints.
Claiming is difficult.
Material is duplicated because of approval plans.
Profiling ambiguities.
Gaps in coverage.
Profiles insufficient.
Difficult to assure proper selection on a continuing basis.
High return rates.
Inflexibility.
Communication problems - language for foreign, bureaucracy for large.
Faculty expectations for speed of delivery unrealistic.
No advance information on what will be supplied.
May miss substantial pre-publication savings.

Library Procedures

Selection must sometimes precede critical reviews.
There is a tendency to accept marginal material.
Increased handling of invoices and material.
Poses a security problem while material is waiting for selection.
May cause selectors to become complacent and lazy.
Less control over selection.
Time-consuming vigilance to monitor receipts.
Follow-up on titles not received very time consuming.
Puts a heavy burden on acquisitions staff to process approval books.
Budget control is difficult when funds are allocated.
Overspending and incomplete control by library over expenditures.
Forces dual systems (approval/firm order) to be maintained.
Backlogs created because books come in advance of cataloging copy.
Flexibility with other vendors lost.
Usual selection sources still need to be checked.

Vendor-Related

Unpredictable.
Unreliable.
Material comes slowly.
Inactive agents are a problem.
Some dealers overcharge.
Inability or unwillingness of some vendors to conform to the library's requirements.

Collection Development

Inadequate coverage of small and fine presses, societies, institutes, museums, etc.
Misses much in specialized subjects.

9

Library____________________

7. What are the disadvantages of approval plans for the library? Please list or ENCLOSE MATERIALS that discuss the issue.

SEE PRECEDING PAGE

FOR LIBRARIES WITHOUT APPROVAL PLANS

8. Has the library ever considered approval plans?

Yes 13

No 2

If YES, why did the library decide against an approval plan?

Too expensive	1
Lack of funds	3
Staff resistance	1
Faculty resistance	0
Profile/Vendor difficulties	4
Other (please specify)	

High degree of selectivity (2), professional staff feels collection development needs are unique and better handled by staff (1), lack of space and staff (1)

9. Has the library ever discontinued an approval plan?

Yes 11

No 4

Library ____________

If YES, why did the library decide to discontinue it?

Lack of funds 7

Staff resistance 1

Faculty resistance 0

Profile unsatisfactory 0

Vendor problems (please specify) 1

inconsistent & unreliable

High return rate 1

Other (Please specify) Books not coming quickly enough; R. Abel went out of business; omitted titles that should have come; library inclined to keep marginal material; failures of plan numerous-impossible to correct.

10. Is the library now considering an approval plan?

Yes 1

No 14

11. Has the library conducted any studies to justify going to an approval plan or for excluding an approval plan?

Yes 0

No 15

If YES, please SUPPLY DOCUMENTS including your methodology and results, or describe briefly.

Library ____________________

FOR ALL LIBRARIES

12. Has the library conducted studies to see if approval plans are meeting needs and expectations?

Yes 49 (21 involve monitoring receipts with checklists and with analysis of returns)

No 37

If YES, please INCLUDE DOCUMENTS, or describe briefly.

13. What staff position(s) are involved in decisions regarding approval plans?

a) decision to have or not have an approval plan SEE NEXT PAGE

b) daily administration of approval plans SEE NEXT PAGE

14. Are books reviewed before processing?

Yes	82	Sometimes	2
No	1	No answer	1

By which staff position(s) are they reviewed? SEE NEXT PAGE

Which staff position(s) has final authority to keep or return material?

____

15. Does the library ask faculty to review approval plan books?

Yes	25	Sometimes	10
No	47	N.A.	4

16. General comments (use a separate sheet if necessary)

13. What staff positions are involved in decisions regarding approval plans?

a) decision to have or not have an approval plan

Head of Collection Development	45
Selectors	38
Head of Acquisitions	35
Library director	25
Library administration	16
Head of Technical Services	14
Acquisitions/Technical Services Staff	8
Other unit heads/supervisors	7
Head of Public Services	2
Collection Development Committee	2
Faculty	2
Library Council	1
All professional librarians	1

b) Daily administration of plan

Head of Collection Development	15
Head of Acquisitions	33
Head of Technical Services	3
Acquisitions/Tech. Services Staff	49
Selectors	24
Other unit heads/supervisors	22

14. Are books reviewed before processing?

Yes	82
No	1
Sometimes	2
No answer	1

By Whom are they reviewed?

Head of Collection Development	8
Head of Acquisitions	8
Head of Technical Services	3
Faculty	3
Selectors	78
Acquisitions/Tech.Services Staff	9
Other unit heads/supervisors	4
All professional librarians	1

Which staff positions have final authority to keep or return material?

Head of Collection Development	31
Head of Acquisitions	15
Head of Technical Services	5
Selectors	48
Acquisitions/tech.services staff	3
Other unit heads/supervisors	3
Faculty	1

15. Does the library ask faculty to review approval plan books?

Yes	25
No	47
Sometimes	10
No answer or not applicable	4

APPROVAL PLAN VENDORS IN GROUPINGS FROM A TO Z

A

American Institute of Certified Public Accountants
Almqvist & Wiksell
Ambassador Books
Academic Book Center
Amnesty International Canada
African Imprint Service
Adolfo
Atlantis Libros
Academic Press
Arts Council of Great Britain
Africare
Aux Amateurs de Livres
Ars Polona
Abrams Art Books
AVI
Ajax Books
American Management Association
American Elsevier
Akateeminen Kirjakauppa

B

Baker and Taylor
Ballen
Blackwell North America
B.H. Blackwell
Berenguer
Beehive International Trading Company
Borgs
Boussac
Belle Air
Bacon Pamphlet Service
Book Wise
Book Stall
Black Sparrow Press
Brockhaus

C

Coutts Library Service
Caribbean Import Service
Caribbean Imprint Library Services
Chinese Materials Center
C.G. Rosenberg

Cambridge University Press
Cambeiro
Country Scholar
Casalini Libri
Commonwealth Agricultural Bureau
Chiao Liu
Chopmen Enterprises
Chambers Record Corp.

D

DK Agencies
Dramatists Play
Dawson (L.A.)
deHeer

E

European-American Music
Elsevier
Editorial Inca
Editorial Edel
Elif Kitabevi
Eulyoo
Eymundssonar
Endohora

F

Fiddlehead
Four Continents
Folkways
Feldheim

G

Garcia Cambeiro
Grant & Cutler
Gunung Agung

H

Harrasowitz
Herrera
Hysen Music Ltd.
Hennessey & Ingalls

I

International Self Counsel Press
Iturriaga
Instituto Cubano del Libro
Iowa State University Press
Interdok

J

James Bennett
John Kolasky
Japan Publications Trading Co.

Juan Manuel de Castro
Jubilee Store
Jerona Music Corp.

K

Kubon & Sagner
Kultura
Kangtai Enterprises
Kuechler
Karger
Kamkin
Kaynardag

L

Linardi
Libros de Columbia
Livraria J. Heydecker
Livraria Portugal
Licosa
Les Livres Etrangers
Libraries Unlimited
Libraria del Plata
Library of Congress Office in Cairo
Liberty Records
Lake House
Libraria Comueros
Larry Edmunds

M

Mexican Academic Clearing House

Majors Scientific Books
Midwest Books
Munksgaards
Mahder
Montalvo
Marzocco
Muskadine Music
MTS Press

N

Nijhoff
Nicholas Rossi
Nick Kimberly
New York Graphic Society
Nigerian Book Supplier

O

Oceana
Oxford University Press
Orbit Books

P

Porrua
Porcellino
Puvill
Pergamon
Pous
Passim
Porter Libros
Phoenix Book Shop
Pan Asian Books
Panum
Plenum

Q

Quadrant Books
Quatre Chemin

R

ROTA
Rizzoli
Rietman
Royer-Smith

S

Scholar's Press
Springer Verlag
Susan Bach
Soberbia
Small Press Distribution
St. George
Stevens & Brown
Sand Dollar
Strand Bookstore
Struik
Scholarly Book Center
State Department of the U.S.S.R.
Sautter & Lachmann Tuttolibri
Szwede
Shastri
Sulaiman's Bookshop
Stampfer

T

Touzot
Theodore Front
Tanum
Tuttle
Texas A&M Press
Texas Western Press
Turanzas
Tower Records

U

Ukrainian Book Store
University of Texas Press
Universal Book Company
Universitetsbokhandeln

V

Varese Sarabande Records

W

Worldwide Books
Wasmuth
W.B. Saunders
Wiley
Wittenborn
Whitcombe & Tombs Ltd
Westwood
Weinberg

Y

Yankee Book Peddler

-- Compiled April 1982, resulting from November 1981 SPEC Survey on Approval Plans, by Thomas Leonhardt

QUESTIONS AND CRITERIA FOR EVALUATING VENDORS

Questions for Approval Vendors: UNIVERSITY OF CINCINNATI

1 - What kind of profiling do they use (e.g., their own subject arrangement? LC? Types of modifiers?). How specific does their profiling get? How many descriptors do they assign to a book? (to a notification slip?)

2 - How would they describe their approval coverage? Who does the selecting for their approval customers? What process is used for selecting and deciding what will and won't be sent?

3 - Are they automated? If so, to what extent and how is it used? If not, what is the manual process involved?

4 - How would they describe their response/delivery time (e.g. longer/shorter than if titles were firm-ordered)? What is the process for getting books from publishers?

5 - How many and what types of publishers do they stock? How is "stock" defined?

6 - Do they have "classes" of publishers that they handle for approval (e.g., B&T's "priority publishers")? Which types of publishers present problems in terms of their approval coverage?

7 - How do they handle "proforma" publishers (i.e., those who require prepayment)? How do they handle subsidiaries of publishers?

8 - How do they handle requests for additional copies? How long does receipt take? Same discount?

9 - What is their policy on returns? What do they consider a reasonable return rate?

10 - Can they provide notification slips? Same discount? Any service charges? Are they treated as "firm orders"? Can they provide notification slips for publishers not included on an approval plan's publisher list?

11 - What is the lowest dollar amount for which they would consider handling an approval plan? Once detailed profiling is completed, how closely can they estimate what the total cost for each plan will be? How easily and quickly can profile changes be made? How are these changes made?

12 - How do they handle ongoing sets, series, serials?

13 - How do they handle claims? Do they have some mechanism for following-up on titles that should be included on approval so that we don't have to spend time claiming? How do they report on claims?

14 - How do they handle firm-ordering when we don't want to wait to see if the book will come on approval (e.g., "do not duplicate on approval")?

15 - What types (and percentages) of libraries do they presently serve (university, college, research institutes, special libraries, public libraries)? Could they give us the names of some people to contact at other libraries which have similar approval plans with them in terms of amount funded and the source of funding?

UNIVERSITY OF CINNCINATI

Approval Vendor Evaluation

Selector's Name: ______________________

Library or fund(s): ______________________

Please use the following criteria for evaluating the vendor:

1) Method of selection, assignment of subject(s), profiling:

2) Completeness of coverage:

3) Management Reports:

4) Information provided on approval/notification slips:

5) Method of acquiring materials, stocking:

6) Profile breakdown in terms of detail, appropriateness, and usefulness:

   A. Subject divisions:

   B. Non-subject modifiers:

7) Is personal service provided, and if so, would you use it?

8) Profile changes (speed, flexibility):

9) Notification of books to be sent on approval, e.g., microfiche listing, CIP cards:

10) Experience with the subjects to be treated:

11) Other Comments:

APPROVAL PLAN VENDORS

Firm Name

Presentation Date
Representative

1. Background:
   Staff No of professionals   Subject knowledge   Method of Selection
   Ownership   Book in hand review?
   Libraries served   Northeast Libs.   Level (grad or Under.)
   Types of Libs.
   Other notes:
2. Profile:
   Publisher List?   How many?   Detail of?   Revision of?   Revision time?
   Other notes:
3. Shipments:
   Frequency?   Size?   Method?   Multipart forms in or with?
   18 Other notes:
4. Returns:
   o/o acceptable?   Length of return period?
   Other notes:
5. Expense
   Annual   Services charges?   Discount?   Postage?
   Other notes:
6. Managements Reports
   Available?   Frequency?   How arranged: LC Classed?   Charges?
   Other notes:
7. Duplication
   How to avoid?   Cross checking?   Dual imprints?
8. Series and Sets
   BUSHL as stop list?   If not, how?   New series?
9. Other services:
   Best sellers?   Reviews in NYT or NYBR?   Am. Poetry and Drama?

BROWN UNIVERSITY

1 excellent 2 satisfactory 3 unsatisfactory STANFORD UNIVERSITY

Criteria for Comparison of Approval Plan Services

A. Selection Quality

*1. Capacity to discriminate and select

*2. Nature, and background of selection staff

*3. Provision of marked bibliographic record

*4. Profiling service and selectivity

*5. Appropriateness of books and forms sent

*6. Capacity to identify and send high use items from major reviews

7. Selector/customer ratio

B. Service

*1. Communication with customers

*2. Speed of service

3a. Level of service

b. Priority of academic customers versus other types of customers

4. Growth rate/capacity for service

5. Average time of filling orders

C. Organization and Structure

1. Organization/size/function

*2. Efficiency

3. Physical setup, plant organization

4. Management

5. Internal communication

6. Automation

7. Process of order/book

D. Financial Matters

1. Capital, fluidity, credit, security
2. Discounting
3. Pricing structure
4. Staff account facility

E. Other

1. Firm order capacity
2. University press handling capacity
3. Claim handling capacity
4. Do not duplicate on approval capacity
5. Slip with book capacity

*F. Candor/Consistency Level

ANALYSES, STUDIES, AND STATISTICS

BROWN

ART CATALOG BLANKET ORDERS

	Number	Cost	Average Cost	
QUATRE CHEMINS				
1978/79	46	$474	$10.31	
1979/80	35	$463	$13.23	
1980/81	32*	$352	$11.01	*2 (9%) not cataloged
ST. GEORGE'S				
1978/79	76	$353	$4.64	
1979/80	59	$373	$6.23	
1980/81	71*	$458	$6.45	*33 (46%) not cataloged
WASMUTH				
1978/79	106	$1,508	$14.22	
1979/80	75	$986	$13.15	
1980/81	72*	$1,052	$14.62	*5 (7%) not cataloged
COMBINED				
1978/79	228	$2,335	$10.24	
1979/80	169 (-25%)	$1,822 (-21%)	$10.78	
1980/81	175 (+4%)	$1,863 (+2%)	$10.64	

ROSENBERG BLANKET ORDER

	Number	Cost	Average Cost
1977/78	220	$5,993	$27.24
1978/79	275 (+25%)	$7,625 (+27%)	$27.73 (+2%)
1979/80	257 (-6%)	$9,055 (+18%)	$35.23 (+27%)
1980/81	322 (+25%)	$12,157 (+34%)	$37.75

HARRASSOWITZ APPROVAL PLAN
Five Year Summary

	1976/77	1977/78	1978/79	1979/80	1980/81
GERMAN					
Received, Number	391	636	681	452	231
Returned, Number	31	58	89	33	3
% Returned	8%	9%	13%	7%	1%
Kept, Number	360	578	592	419	228
Cost	$4,112	$8,473	$9,436	$5,514	$2,725
Average	$11.42	$14.66	$15.94	$13.15	$11.95
RELIGION					
Received, Number	126	70	47	92	107
Returned, Number	39	7	5	6	2
% Returned	31%	10%	11%	7%	2%
Kept, Number	87	63	42	86	105
Cost	$1,932	$1,506	$1,156	$2,344	$2,829
Average	$22.20	$23.90	$27.52	$27.25	$26.94
MATHEMATICS					
Received, Number	6	22	27	20	
Returned, Number	4	5	2	5	
% Returned	67%	23%	7%	25%	
Kept, Number	2	17	25	15	
Cost	$28.60	$178	$357	$247	
Average	$14.30	$10.45	$14.27	$16.46	
MEDICINE					
Received, Number	64				
Returned, Number	38				
% Returned	59%				
Kept, Number	26				
Cost	$775				
Average	$29.79				
COMBINED					
Received, Number	587	728	755	564	338
Returned, Number	112	70	96	44	5
% Returned	19%	10%	13%	7%	1%
Kept, Number	475	658	659	520	333
Cost	$6,847	$10,156	$10,948	$8,105	$5,554
Average	$14.41	$15.44	$16.61	$15.58	$16.69

7/14/81

BROWN

STANDING ORDER PRESSES
1980 - 81

FOR ROCK/SCIENCES

	$	#
Amer. Enterprise In.	21.40	3
Amer. Library Assn.	415.25	29
Ardis	311.65	27
Brookings Inst.	302.61	20
Cambridge U.P.	11,105.47	341
Erlbaum	1,028.18	50
Free Press	1,150.87	66
Huntington Lib.	40.61	5
Inst. Social Res.	108.64	7
IEEE Computer Soc.	0	0
Jerusalem Inst.	0	0
Makor	278.20	2
Nat. Acad. Sci.	422.80	50
Nuffield	27.24	3
Scarecrow	1,452.59	104
Yale U.P.	1,969.59	84
TOTAL	18,635.10	791
Yankee Approval	43,580.14	2,207
TOTAL	62,215.24	2,998

FOR SPECIAL COLLECTIONS

	$	#
Abattoir	41.00	3
Alice James	11.85	3
Arion	0	0
Baker Plays	15.88	9
Black Sparrow	448.31	13
Blewointment	10.20	1
Burning Deck	82.00	11
Cherry Valley	9.35	2
Coach House	38.63	9
Copper Beech	10.80	4
Copper Canyon	81.00	11
Crepescular	25.00	1
Crossing	57.63	5
French	0	0
Graywolf	48.64	3
Penmaen	99.00	4
Pentagram	85.25	13
Perishable	202.42	5
Pitt Poetry	20.13	3
Pomegranate	0	0
Pym-Randall	39.02	7
Red Ozier	115.20	4
Sono Nis	43.51	7
Swallow	0	0
Talon	48.27	9
Third & Elm	0	0
Toothpaste	247.80	9
Turkey	244.00	7
Unicorn	62.10	6
TOTAL	2,086.99	149
SBD Approval Plan	310.47	59
TOTAL	2.397.46	208

YANKEE BOOK PEDDLER APPROVAL PLAN

1980 - 81

Number Received	2,238
Number Returned	31
Not Wanted: 19 (0.8% of all rec'd)	
Duplicates: 12 (0.6% of all rec'd)	
Percent Returned	1.4%
Number Kept	2,207
Cost of Those Kept	$43,580.14
Average Cost per Title	$19.75

7/14/81

TEXAS A&M UNIVERSITY LIBRARIES
Sterling C. Evans Library

TO: Noreen Alldredge
Asst. Director for Collection Development

FROM: Stan Hodge, Head
Resource Development Division

SUBJECT: Blanket Order and Approval Plan Evaluation

DATE: January 31, 1980

I. SUMMARY OF APPROVAL PLAN RECEIPTS AND COSTS

The chart below provides answers to the questions in your June 25, 1979 memo as they pertain to the blanket order and approval plans only.

	IEEE OOPS	SPRINGER VERLAG	ELSEVIER
1. Date of order for plan	2/79	1/79	5/23/79
2. Date when first items were received on approval	3/21/79	6/1/79	7/79
3. Number of titles received to date	90	21	81
4. Total and average cost of titles received to date	$2,586 $28.73	$633 $30.14	$1,600 $19.75

II. PERFORMANCE EVALUATION OF THE THREE PUBLISHERS PLANS

1. I.E.E.E. OOPS PLAN

College Station Texas 77843 713-845-6111

The first I.E.E.E. shipments were an immediate problem because 1978 imprints were sent despite specific instructions to begin with 1979 imprints. Duplication resulted, and I.E.E.E. would not accept any returns. A present problem is that they now send invoices separately from the books. We suspect that some items are duplicating established standing orders but do not know the magnitude of this problem.

I.E.E.E. now offers a new billing plan so that we may save several hundred dollars a year by paying for the OOPS plan in advance. This will also relieve the Financial Dept. from individually processing dozens of invoices and permit us to process the material without waiting for invoices. I have recommended that Acquisitions change to this plan. Last year, about half the cost was assumed by the TEES account. Acquisitions needs to know if the S/T account will now pay the entire amount for calander year 1980.

Not all I.E.E.E. items are sent on the OOPS plan, but recent publisher lists indicate those exceptions. Reference librarians have requested a few current publications, but these are returned unless the I.E.E.E. Catalog indicates "non-OOPS Plan title." Overall, I think the OOPS plan is an advantage, especially if we can prepay the entire amount.

2. SPRINGER-VERLAG APPROVAL PLAN

There was a long delay in implementing this plan due to personnel changes at Springer-Verlag. Once it began, shipments were received on a regular basis. Recently, a shipment of 23 items was received of which 22 were duplicates of our standing orders. This error was brought to their attention.

The approval profile was revised for 1980 and I sent a copy of it with my recommendations to Reference which they confirmed. Deborah Brown made a check of non-series items published by Springer-Verlag during May to August, 1979 which we should have received on approval. We had 17 of the 22 which the catalog indicated were published. Mr. Lou Fifer was made aware of the five ommissions when he visited in December. As it turned out, two of the items had not been published. He will check on the other three.

We continue to receive faculty requests, but these are held for awhile and periodically checked for receipt from standing orders or the approval plan.

The plan is working after a slow start. We hope Springer-Verlag will solve its internal problems so fewer errors will be made in the future.

3. ELSEVIER/NORTH HOLLAND APPROVAL PLAN

This program also got a late start and approval book shipments did not arrive until several reminder phone calls were made. The major problem since then has been their failure to promptly invoice in one case. Some of the standing orders supplied retrospective volumes which duplicated library holdings. Their return policy permitted correcting this error.

4. OVERALL EVALUATION

One major problem with these three plans has been determining what we want without receiving duplicates and organizing the bibliographic forms and records to obtain it. As these publishers output is primarily scientific and technical, series and serials had to be carefully examined and searched.

The second major problem was one over which we had no control. This consisted of publisher errors in billing or not billing and supplying or not supplying. Once the programs had been operating for a few months however, the approval and blanket order material that was expected was generally supplied. We trust these publishers internal problems will be resolved.

To my knowledge, only one approval book has been rejected. Springer-Verlag and Elsevier both have a liberal return policy that will accept rejects and duplication without protest. I.E.E.E. is another matter; you either accept their non-return conditions or drop the program.

I apologize for having delayed this report well beyond the deadline. Its only redeeming result has been a more accurate and long-term assessment, since so many problems and delays were initially encountered.

cc. H. C. Yu, Head
Acquisitions Division

TEXAS A&M UNIVERSITY LIBRARIES
Sterling C. Evans Library

TO: Noreen Alldredge
Asst. Director for Collection Development

FROM: Stan Hodge, Head SRH
Resource Development

SUBJECT: Performance of Approval Plans in Supplying University Press Publications

DATE: January 31, 1980

Questions are often raised regarding coverage of university press books by B&T and Blackwell of England programs. Last spring I asked Yankee Book Peddler, a specialist in U.P. books, to supply us with their notification forms so we could evaluate the coverage and timeliness of our present programs. Our study examined four weeks of U.P. output.

Several Resource Development staff periodically checked the 272 titles for holdings and date of receipt. Mary Kuder has summarized results of her study of the approval plan performance on the attached sheet. Another figure might also be of interest: 196 of the 272, or 72 percent of the titles we felt should have been supplied on approval were received in this manner. This performance can give us some confidence that we are likely to receive "appropriate" university press titles on approval, although there is room for improvement.

I would like to pass this information along to the C.D. and C.I. librarians, as well as to the B&T Representative.

Enclosure

College Station, Texas 77843 713-845-6111

TEXAS A&M UNIVERSITY LIBRARIES
Sterling C. Evans Library

January 31, 1980

Results of a Survey of University Press Publications Coverage Provided by Texas A&M Approval Programs

Notification slips for titles which would have been supplied through a blanket order plan with Yankee Book Peddler were used to determine the extent of coverage received on the approval programs. The slips were reviewed and all serials, reprints, and inappropriate titles were eliminated. Two hundred, seventy-two titles were checked. Those titles not found in the approval files after three months were held and rechecked after five months. Titles not found in the files after the second search were then taken to the card catalog to determine if they had been received by other means.

Of the 272 titles surveyed, 82% (225) were owned by the library. Eighty-seven percent (196) of the items owned were supplied through an approval program, and 165 or 85% of these were received within three months of receipt of the Yankee notification slips.

A review of the slips for titles not received indicated that Hoover Institution publications were consistently omitted from the Baker & Taylor Approval Plan coverage. Baker & Taylor has been alerted to this omission and will also provide status reports on the 47 titles not received.

College Station Texas 77843 713-845-6111

THE UNIVERSITY OF TEXAS AT AUSTIN
THE GENERAL LIBRARIES
AUSTIN, TEXAS 78712

5 January 1982

Approval Plan Survey
Thomas W. Leonhardt
Library Acquisitions Dept.
Duke University
Durham, NC 27706

Dear Tom:

Enclosed is the Approval Plan Survey, with apologies for its being late.

In case it isn't clear from our response, I can say categorically that I don't know how we could live without approval plans. We simply do not have the staff--in collection development, acquisitions or processing--to do what approval plans are doing for us.

One new vendor service that we have found very helpful did not seem to fit in the questionnaire. That is the microfiche status report, updated quarterly, I believe, covering every title selected in the company's approval plan program, together with appropriate coding. By checking this fiche we can determine whether a title has been selected for the overall program and whether it is considered a match for our profile. If the book is not in the program at all or if it is not in our profile, we "claim" it. This seems to be a very effective control mechanism.

I hope this is helpful.

Sincerely,

Carolyn Bucknall

Carolyn Bucknall
Assistant Director
for Collection Development

CB/gb

Report on Sampling of User Requests

The Collection Development Division has reviewed a sampling of user requests for 1978-1981 imprints not in the General Libraries. The sample, collected with the cooperation of the Reference Department and Inter-Library Service consisted of 147 items. User requests supplied by Reference were made during the period November 1-December 10, 1980. The sample of ILS requests consisted of filled loans originally submitted September-December 1980.

Of the combined total of 147 requests, sixty-three titles (forty-three percent) had been added to the collection by July 31, 1981; and twenty-seven of these sixty-three had been received at the time they were requested. Approximately half of the sixty-three titles (thirty-four) were individually ordered, twenty-seven were received through the approval program, and two were received through the PL-480 program.

Analysis of the eighty-four titles requested but not received showed that with few exceptions, they were outside the scope of the approval programs. For example, seventeen U.S. imprints (twenty percent of the non-receipts) had publishers not included in the approval plan profile. Eleven titles, including six foreign imprints, were subject exclusions; while nine were upper-level textbooks. The categories of general supplementary and lower-level textbooks claimed seven titles each.

Exclusions for numbered monographs in series accounted for six titles, serials for five, and books first published in Great Britain for five. (The latter exclusion is no longer in effect.) Four titles were excluded as undergraduate level. Eight titles (five percent of the total sample) appear to have been within the scope of General Libraries approval plans and are likely vendor errors.

Other out-of-scope titles were government documents (two), reprints (one), extracurricular level (one), dissertation (one).

Inter-library loan requests are routinely distributed by Hugh Chisholm to appropriate bibliographers for informational purposes. Also, reference librarians frequently inform bibliographers of requested titles which are not in the General Libraries. The sharing of such information is encouraged; notices (OCLC hard copy of Book Request forms) sent to Mr. Chisholm will be distributed to appropriate bibliographers.

--Jerry Bishop

1982/83 Academic Library Consultant Training Program

TEMPLE UNIVERSITY
A-2-L 273
790925

REPORT ON THE BLACKWELL NORTH AMERICA ENGLISH LANGUAGE APPROVAL PLAN 1977/78 and 1978/79

I. Attached on pages 3 to 32 are the breakdowns of BNA's performance during the two year period 1977/78 and 1978/79.

II. Discount

(pages 4-15 omitted in kit)

Because of the drop in discount received during the eighteen months preceding the period covered by the present report, the Pre-Catalog Department sought and received permission to query other research libraries about the adequacy of other approval vendors. The Director of Libraries supported this activity by signing the letter that accompanied the questionnaire. By mid-summer 1978 Temple was convinced that Baker & Taylor was an adequate alternative offering adequate selection capabilities and a flat discount of 13% compared to BNA's average of 5.5% (see pages 24 to 32 for documentation). As a result the Director and the Chief of Collection Development were able to negotiate a flat discount of 13% minus 3% approval fee for approval titles, beginning January 1, 1979. As a result the 1978/79 discount averaged 8.5% and future discounts should be approximately 10%.

III. Supply rate and returns

The number of titles purchased during each of these two years was approximately 8% higher than in 1976/77 and 13% higher than in 1975/76. While the return rate was 6.7% in 1977/78, showing no change from the preceding year, it increased to 9.5% in 1978/79. In addition, during the 1977/79 fiscal years the proportion of books returned because they were unsuitable increased to about one half, whereas previously they had been no more than one quarter. As a result the Chief of Collection Development initiated a review of the profile during the Spring of 1979 in order to ensure that we received fewer unwanted titles.

IV. Cost per title.

In 1977/78 the average selling price per title was $14.51. This was very close to the $14.34 figure for 1975/76 and $14.82 of 1976/77. However, in 1978/79 the price jumped to $15.89 per title, a 9.5% increase over the preceding year. This increase in cost occurred in spite of a 3% improvement in discount for that year.

V. Length of time taken to supply a published title.

A May 1978 shipment was checked against OCLC holdings and there was no indication of any appreciable change in speed of supply. A July 1978 shipment was checked against publishers' stated publication dates and showed a minor improvement over the previous years. This activity is very expensive and rather unreliable because publishers' often have more than one appropriate date. Because of this, and since Collection Development had indicated that BNA's speed of supply was acceptable, Pre-Cataloging decided to discontinue measuring speed in this fashion.

It also discontinued the OCLC check since the growing membership makes comparison of results from year to year rather uncertain. Both fashions of measuring speed result in rather suspect results and Pre-Cataloging believes that recording those results alongside more accurate data lends them a spurious accuracy.

VI. Books published in the United Kingdom

During the Fall of 1977 the BNA representative suggested we consider splitting our approval plan in two, and purchase books first published in the U.K. on a U.K. approval plan in order to save money. Decisions about this were deferred because of our uncertainty about our American plan. At the time that we queried other libraries about the Baker & Taylor plan we also asked about the B. H. Blackwell plan. Please see pages 20 to 23 and 28 of this report for information.

PAGES 4-15 omitted . in kit
A-2-L 203
790923
Page 3

TEMPLE UNIVERSITY
– OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION

INTER-OFFICE COMMUNICATION

Date December 12, 1977

P. J. Thaxter

From Betsy Tabas

Report on BNA's performance on the Approval plan from July 1977 Thru September 1977

I.	# of titles received	1883	
	# of titles returned	115	(ca 6.1%)
	# of titles retained	1768	

II. Returns (includes only books returned from the shipments received during this period)

# of titles	115		
# of duplicates	65	56.6%	
# unsuitable	48	41.7%	
# defective	2	1.7%	(will be sent again later)

III. Cost in U.S. $

	List Price	Selling Price	Amount discount	% discount
Titles Received	$28885	$27404	$1481	5.1
Titles Returned	1524	1433	91	6.0
Titles Retained	$27361	$25971	$1390	5.1

IV. Average selling price of titles retained

$14.69

11

COMPARISION OF DISTRIBUTION OF DISCOUNTS RECEIVED ON BNA APPROVAL TITLES, OCTOBER 1976 and 1977

% discount	# of titles from shipment October 1976	%		# of titles from shipment October 1977	%
0	185	38		162	28
5	11	2		29	5
10	162	34		235	41
15	38	8		29	5
20	14	3		19	3
25	41	9		63	11
30	24	5		38	7
35	7	1		-	-
TOTAL	482		TOTAL	575	

BNA APPROVAL SHIPMENT - SPEED OF SUPPLY

Date shipment received:	Thursday May 18, 1978	
Date shipment searched on OCLC:	Friday and Tuesday May 19 and 23, 1978	
# of titles in shipment:	141	
# of libraries that have cataloged the title	# of titles	% of shipment
0	18	12.8
1	5	3.6
2 - 10	34	24
11 - 50	64	45.4
51 - 240*	20	14.2
	141	100

* The title cataloged by most libraries was cataloged by 240 libraries

Of the 20 titles cataloged by more than 50 libraries:

8 were University Press titles**

5 were from major trade and scientific publishers

7 were from miscellaneous trade publishers

** The 8 University Press titles consisted of 3 Yale titles, 3 Clarendon Press and 1 Oxford, New York titles, and 1 University Press of Virginia/Bibliographical Society of University of Virginia title. Because it was so startling to see that so many libraries had received titles from these major University presses before we had, we enquired about their publication dates. The results were as follows:

Yale University Press -	1 title in March, 2 in April 1978
Clarendon Press -	3 titles in January 1978
Oxford U.P., New York -	1 title in February 1978
University Press of Virginia -	1 title in March, 1978

A special note was kept of the number of titles that had already been received and cataloged by the University of Pennsylvania, since Penn's proximity to us should mean that they are working under the same conditions that we are in firm ordering, and since they do not maintain an approval plan. We found that 15 of the titles or 10.6% of the shipment, had already been cataloged by The University of Pennsylvania.

BNA APPROVAL SHIPMENT - SPEED OF SUPPLY

The July 13, 1978 shipment contained 166 approval books. We checked with the publisher and received 161 usable responses.

Publication dates	# of titles	% of shipment (166)
DELIVERY SIMULTANEOUS WITH OR PRIOR TO PUBLICATION (i.e. July 1978 or later)	19	11.4
Delivery within a month of publication (i.e. June 1978)	51	30.7
Delivery within two months of publication (i.e. May 1978)	36	21.7
Delivery within three months of publication (i.e. April 1978)	29	17.5
DELIVERY 1-3 MONTHS AFTER PUBLICATION (i.e. April-June 1978)	116	69.9
DELIVERY 4-6 MONTHS AFTER PUBLICATION (i.e. January-March 1978)	12	7.2
DELIVERY MORE THAN 6 MONTHS AFTER PUBLICATION DATE (i.e. prior to 1978)	14	8.4
TOTAL	161	96.9

TEMPLE UNIVERSITY
— OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION

INTER-OFFICE COMMUNICATION

Date February 26, 1979

J. Sohn

From P. J. Thaxter

You might like to be aware of the following information before you see Ken House.

Average cost of a BNA approval title FY 77/78 $14.51. Average cost first half of FY 78/79 $15.39. The 13% discount should decrease the 78/79 overall cost.

	July-Dec. 1978	July-Dec. 1977	FY 77/78
Titles received	3,493	3,401	7,643
Number returned	362	246	511
% returned	10.4	6.2	6.7
# of duplicates	173	125	249
% of duplicates	47.8	50.6	48.7
# of unsuitables	188	115	246
% unsuitables	52.0	46.6	48.0
# defective	1	6	16
% defective	.2	2.6	3.0

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TEMPLE UNIVERSITY
OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION

INTER-OFFICE COMMUNICATION

Date September 26, 1977

To Mr. Nitecki

From P. J. Thaxter

Subject: Visit of BNA representative on September 14, 1977

Mr. Galbraith of BNA visited us on September 14, 1977

I. I brought up the question of BNA's low discount on firm order titles. He acknowledged that discounts were low and expressed the opinion that they would disappear entirely within the next decade. He reminded me of the recent change in their pricing structure. Beginning September 1, 1977 nothing will cost over the list price. Formerly we had been paying a $1.85 surcharge on titles BNA purchased from the publisher at or near list price.

II. Mr. Galbraith suggested that we consider setting up two English language approval plans for English language titles, one for titles of American origin and one for titles originating in The United Kingdom. He estimated that we would save about $2.50 each on titles originating in the U.K. His estimate of the size of a British approval plan was about 1,800 titles (he also indicated a range from 1,500 to 2,000 titles) for about $25,000. We started making our own check into this matter in August. The information is only partly collated, but so far it indicates that we could save money, but that we received many fewer than 1,500 U.K. titles from BNA last year.

We considered separate plans two years ago. The only difficulty in Technical Services is the provision of suitable space for inspection of newly received shipments. This is a real difficulty, involving security of materials and inconvenience to the bibliographers. Both these matters seem minor compared to the prospect of purchasing at a better price, and I recommend that we seriously consider the change.

Naturally, BNA would prefer us to use B. H. Blackwell's for the British titles. There is much to be said for this as far as running the plans is concerned. We could put upon the two companies the work and responsibility involved in dovetailing the plans with each other. On the other hand, if we are to make a radical change, we should consider the Baker & Taylor plan again. They are still offering a 13% discount for approval titles compared to 5.5% from BNA, and they have made some improvements in their plan during the past two years. Titles received on approval claims and selection form orders all receive the 13% approval discount and have full return privileges. If we seriously consider separating the plan into two I recommend that the Library look further into the adequacy of the collection development aspect of the B & T plan.

We should also consider whether we might not be better off to purchase all our British titles on firm order. International Library Service, a fairly new British vendor, might offer us a discount if our account were large enough. They claim that Columbia and NYU are currently using their services.

III. I asked Mr. Galbraith how quickly we should expect to receive titles on approval after publication date. He thought that anything over 6-8 weeks indicated that they had missed the title, and had to pick it up later. The information we have indicates that in the Spring of 1976 BNA supplied 62% within 14 weeks of publication.

I discussed with him the reasons why a number of libraries may have received and cataloged their copies of titles before we received ours on approval. He suggested two reasons. Libraries who firm ordered immediately prior to publication date would receive their copies very fast, and, some libraries do a lot of rush ordering.

BNA is currently assessing a service charge of $2.65 for titles ordered rush. We do not rush order from BNA and Mr. Galbraith did not encourage us to do so.

BRITISH BOOKS RECEIVED ON APPROVAL FROM BNA 1976/77

815 titles from the 1976/77 BNA approval receipts were identified as probably of British origin. Of these prices were located for 577 titles in British bibliographic sources.

For the 577 titles

The BNA selling price was $10,902
The British list price was 8,512

The average price per title - British edition - was $14.75

Estimated cost of British approval plan is $12,021.00 (815 X $14.75) plus $3,512.00 (238 X $14.75) purchased through Stevens and Brown

TEMPLE UNIVERSITY
— OF THE COMMONWEALTH SYSTEM OF HIGHER EDUCATION

INTER-OFFICE COMMUNICATION

Date July 13, 1978

Mr. Hamlin

From P. J. Thaxter

Current status of investigation of approval plans

We sent questionnaires to 19 libraries believed to be using the B&T approval plan for domestic imprints, and 7 libraries believed to be using the BHB plan for British books. 15 of the libraries responded about the B&T plan, 3 about the BHB plan.

In response to my request that we also send questionnaires to eight libraries using the Ballen plan you suggested that we review results to date, especially since there was some duplication between the B&T and Ballen lists. Examination of the responses to the questionnaire indicate that of the three names that appeared on both the Ballen and B&T list, one dropped B&T in 1971 and is using a combination of Ballen and other plans, one is using Ballen for science and medicine but also has an approval plan with B&T, and the third has a plan with B&T and made no mention of Ballen.

Attached are charts listing the results of our questionnaire by library. I have numbered rather than named the institutions to preserve the confidentiality you promised. A summary of the information that we now have follows.

BNA

There is no significant change in the service we receive compared with last year.

Their selection of titles appears to be good based upon the fact that we returned only about 3% of the titles as unsuitable.

Their speed of supply appears about the same. We have never been disatisfied although their performance does not keep up with their stated standards. Last year 75% of the titles we received in one shipment were published within three months of receipt. Only 10% were more than six months old. We plan to sample next week's shipment to update our information.

Their discount remains the same at 5.5%

B & T

Summary of responses from users*

Their selection of titles appears satisfactory, with judgements varying from acceptable to excellent, the majority being in the "good" category

Their speed of supply is judged as between slow and good, with more libraries satisfied than not

Their discount is in some cases listed at the flat 13%. In a couple of cases it is more, but I think both are cases where the contract is awarded on bids. In cases where the library takes the individual discounts on titles they usually report "good"

*N.B. The size and scope of the various plans is different

B.H.B.

The three reports on the B.H.B. plan all indicate a high level of satisfaction. One library reports no discount which I would have expected, but a second reports that discount varies and the third that it is "reasonable". I am surprised that BHB gave discounts.

One of the main issues which concerned us when we began to consider splitting the approval plan into two plans, one American and one British, was the degree of duplication. One library reports none, another which has two American plans, reports a 1-3% duplication and the third reports a duplication level which appears to be ca. 27%. However, this library has a multiplicity of plans and they can probably not keep track.

Recommendations

1. That if the Chief of Collection Development is satisfied from the results of her investigation that B&T can supply the titles we want that we transfer to the B&T plan for 1979 imprints. A 13% discount would give us an additional $6,500 to $7,000 in discount. Speed of supply has a good chance of being as adequate, or inadequate, as BNA's. Neither theresponding libraries nor we ourselves have much factual information on this aspect of service.

2. I further recommend that we ask the 5 libraries using Ballen, but not B&T, what their experience has been so that we can consider Ballen without delay if Mrs. Sohn does not find B&T to be worthwhile.

RESULTS OF QUESTIONNAIRE ABOUT BAKER & TAYLOR APPROVAL PLAN SUMMER 1978

Institution	Starting date	Size of plan	Selection of titles	Speed of Supply	Discount	Scope
1*	1975	ca.13,000 $175,000	Fair to good	Some immediate others much later	13%	Very comprehensive
2*	1975	ca. 10,000 $110,000	good	good (initial difficulties)	13%	appears similar to ours
3*	1971	ca. 8,000 $103,000	very good	acceptable, some improvement needed	good	appears similar to ours
4*	1974	ca. 6,000 $100,000	good	satisfactory	0-30%	very comprehensive
5*	1975	$100,000	reasonable	variable	average	appears similar to ours
6*	1975	$100,000	problems, but they lie with the library, not B&T	slow	good	excludes British titles and 6 science publishers
7	1970	ca. 8,600 $90,000	satisfactory, considerable improvement in last two years due to adequate definition of terms	relatively quick	17.8%	comprehensive
8*	1974	ca. 5,800 $70,000	acceptable	slow	av. 12%	smaller subject scope than ours

RESULTS OF QUESTIONNAIRE ABOUT BAKER & TAYLOR APPROVAL PLAN SUMMER 1978

Institution	Starting date	Size of plan	Selection of titles	Speed of Supply	Discount	Scope
9*	1977	$60,000	good	good	17.5%	excludes only Allied Health Subjects
10*	1971	ca. 2,800 $36,000	good	good	good	difficult to interpret
11	1968	ca. 2,300 $36,000	excellent	4-6 weeks after firm order but have improved	very good	apparently similar to ours but exclude Theology
12*	1974	ca. 4,700 $31,200	30% rejection rate	slow, titles often obtained on firm orders first	13%	many subject exclusions
13*	1975	ca. 1,800 $28,000	Required several profile changes, now improved	good	13%	many subject exclusions, incl literature, huma and social sciences
14	Plan dropped 1971					
15	Never had plan					

* Indicates that institution had an earlier plan and presumably therefore some basis for comparison

RESULTS OF QUESTIONNAIRE ABOUT BHB APPROVAL PLAN SUMMER 1978

Institution	Starting date	Size of plan	Selection of titles	Speed of Supply	Discount	American plan(s) with	Duplication between plans
1	1971	ca. 21,000 $28,000	very good	good	none	B&T	None
2	1971	$25,000	good	varies	varies	B&T and Ballen	1-3%
3	1970	ca. 1,700 $25,000	good	fair	reasonable	several plans	ca. 27%?

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UNIVERSITY OF MICHIGAN

To selectors handling this plan

Blackwell's Approval Plan Quarterly Report--GL 6-30-81/9-30-81

This report is based on manual counts from internal records. Correlation between receipts and returns is not strict since some returns constituted materials received before June 30, and some current receipts will no doubt be identified as duplicates and returned after quarter-end. Figures are probably skewed bacause prior to this quarter we received only forms from BHB and were not allowed to return titles once confirmed (after selection and searching). Next quarter's statistics will probably be a more accurate reflection of a fully operational plan.

This report is intended to supplement BHB's own computer-generated analysis, which will show shipments, returns, and costs by subject area. Again, BHB's receipts and returns will not correlate exactly, nor will BHB's analysis match this internal study given the time required for shipments to cross the ocean. Gerald Pridmore assures us that the BHB report will be sent by mid-October.

A. Receipts, returns, billings

Books shipped	543
Gross billings	$13,009.51
Average cost/book	$23.73
Returns	39
Return rate	7%
Books kept	504
Net billings	$11,842.17

B. Analysis of returns: total - 39

1. Duplication	29
A. Collections duplicated	
GL	28
Physics (history of concept of ether)	1
B. Reasons for GL duplication	
1. Standing orders	2
2. Firm orders predating 1981	23
3. Joint publication (British trade/U.S. university presses)	3
2. Unsuitabliity	10
A. Treatment/format	2
1. Translation of Dante	
2. Textbook	
B. Subject	8
1. Medical (Subject descriptor: medical history)	1
2. Transportation (SD: transportaion history)	1
3. Social work (SD: parole and probation)	1

·56

4. Relision (SD: Clergy: selector described as "too practical")	1
5. International law	1
6. Business	3

Subject descriptors and titles:

a. Economics of industries, Economics of Industries and Firms: Theories, Evidence, and Policy.
b. Management, industrial relations, Psychology and Management, A Text For Managers and Trade Unionists.
c. Industrial relations, Industrial Relations Procedures Agreements.

From Library Newsletter

APPROVAL PLANS

The Blackwell approval plan, the British counterpart of the BNA plan for the Graduate Library, posted good performance figures in a recently completed analysis of its first quarter of full operations. Between June 30 and September 30 selectors kept 504 of the 543 books sent, for a return rate of 7 percent. Net billings were $11,842.17, with an average cost per book of $23.17. Only 2% of all books sent were rejected because they did not fit the collection's needs. Another 5% duplicated the holdings, in most cases because they were titles announced and firm-ordered before the inauguration of the plan.

Jean Loup has been closely following Blackwell's Books of the Week to make sure that coverage is comprehensive. A printout of BNB items, BBOW, is an individualized listing of how each title was treated for the University Library. Besides providing an ongoing check on overall coverage, Jean's monitoring has also led to a number of profile refinements.

The BNA approval plan continues to be monitored through Linda Storey's Weekly Record project. Of the 81 items she marked for investigation in her most recent study, BNA had dealt with 79 in accordance to GL profiling instructions. Only two were not covered for the Library, and citations have been sent to BNA for an explanation of the factors involved.

With the implementation of RLIN Acquisitions, most approval plan books are now being input into RLIN and will not appear in the OOF. Since September 15, Bob Houbeck reports, staff has input some 663 approval plan records into RLIN. However, since approval items issued in numbered series are at present being entered in the OOF and not in RLIN, full searching for approval plan items may require checking both sources.

--Mary Kay Murray

UNIVERSITY OF MICHIGAN

Distributed to selectors handling this plan

BNA PERFORMANCE DATA 3-3-81 THROUGH 7-15-81

1. Receipts and Returns

Titles Received	792
Titles Returned	122
Titles Kept	670 = 85%

72 books, or 9%, were returned because they duplicated GL or other libraries. This problem should diminish greatly as time passes.

50 books, or 6%, were rejected as being unsuitable for the collection.

2. Analysis of "NIS" Rejections Total = 50

   a. Due to subject or appropriateness for another library
   Total = 22

   Theology - 1
   Corrections - 1
   Nat Sci - 1
   Econ - 1
   Transportation - 3
      36801820 Transp of goods - 2
      368016 Commerce and trade - 1
   Social Work - 4
      363226 Social group work - 1
      396525 Juvenile delinquency - 1
      396525 and 36641230 Adolescence - 1
      364860 Psych Rehab and 675002 Handicapped - 1
   Business - 11
      Different subject descriptors in each case; copies attached. Appears to be problem of level--either too popular or too technical.

   b. Due to treatment Total = 26

      1. Too popularized = 4
      Book on Brooklyn Dodgers, how-to resume book, two coffee-table books

      2. Level too low for GL = 22
      Selectors described all of these as not really being "upper undergraduate level textbooks," as we conceive

of upper undergraduate. BNA had labelled them as follows:

Upper undergrad - 9
Professional book, specialized reader - 4
    (All in field of education)
Reader level - reference - 2
Upper undergrad, graduate text - 1
Specialized reader - 1
Graduate text - 1
No level specified - 2

One book was labelled upper undergrad but preface said was suitable for "advanced high school programs," as selector found. Another "upper undergrad" title was found to be intended for sophomores and juniors.

Unfortunately, approaching this problem through adjusting the non-subject parameter "upper undergrad" may create another problem: after monitoring the shelves for three weeks we have found that 62% of the books labelled thus are found to be suitable in level for the collection and are accepted.

c. Due to subject and level Total = 2

Level - upper undergrad, i.e. texts
Subjects - education, social work

3. Breakdown of duplicates by library holding original Total = 72

GL - 59 (Includes titles expected on standing orders)
UGL -3
Transp - 1
Ext - 1
Public Health - 4
Ref - 1
Public Health and Social Work - 1
Engin and Ref - 1
Nursing and Ext - 1

Distributed to all selectors

The Blackwell North America approval plan for Graduate Library humanities titles has functioned well during its initial phase, according to an analysis of performance data based on receipts through July 15.

To be effective, approval plans must provide neither too much nor too little. Thoughtful profiling by GL staff and BNA's computer capabilities have kept the return rate at a level surprisingly low for a newly-initiated plan. While results are not yet complete, Linda Storey's Weekly Record project suggests thus far that the plan is in fact supplying the materials which would have been selected under previous selection procedures.

A total of 792 books were supplied by July 15, the great majority after May when the forms trial period ended. Of these, 670 or 85% were selected and added to the collection.

Returns for duplication totalled 9 per cent. Most of these were the inevitable by-product of initiating the plan, e.g. titles announced and firm-ordered in 1980 but not actually published till 1981, or titles firm-ordered during the forms trial period which crossed with later shipment. Best available estimates suggest that duplication returns may drop to as low as 2% once the plan has been in place for a year. (Parenthetically, due to the affiliation between Blackwells and BNA, there was not one case of duplication involving joint British-American imprints.)

In all but a few cases the duplicate copies which arrived duplicated holdings or standing orders for GL, rather than other libraries. This suggests expert subject control in the profiling selectors did, especially for such difficult areas as social work, public health, education, etc.

Good subject control was also evident in analyzing the 6% of titles returned as unsuitable for the collection. Only 22 books were rejected as being inappropriate in subject, and among these, subject descriptors were not repeated: i.e. the subject as profiled was appropriate for GL, and these were marginal titles provided for consideration. Business has proven to be a difficult area, but even here it has been a matter not of subject but of the highly specialized needs of the Graduate Library.

The remaining books were returned because their level was too low for this collection. This is a problem which will be addressed when BNA representative Dana Alessi visits in September.

Especially in this start-up phase selectors have faced uncertainty as to whether a particular title will indeed be sent on the approval plan. A newly-issued BNA microfiche monthly, the New Books Status Report, should alleviate the problem since it lists the titles BNA has ordered or acquired for its approval plan customers, and which libraries are to receive forms or books. The NBSR is available through Reference, and Book Purchasing will soon have a set.

7-29-81

Distributed to selectors in general

BNA Performance Report -- Weekly Record Project

Of the 81 items Linda Storey marked as a check on BNA, 79 were accounted for as follows:

1.	Already received and added	50
2.	Otherwise offered to Library as book or form	12
3.	Ordered by BNA and not yet received	3
4.	Non-American publications	2
5.	Later volumes in series sold only on standing order	1
6.	Published before inauguration of approval plan	8
7.	Eliminated by non-subject parameters NSP 1431, Popular Treatment Asimov, In the Beginning Gilbo, American Red Cross (Copies attached)	2
8.	Eliminated by subject descriptor SD 1668, College Reader Baker, Essayist (Copy attached)	1

Two (copies attached) were not covered. Energy and the Urban Environment was not listed on the NBSR fiche at all, and Milton, Human Behavior in Organizations, was treated for other libraries but not Michigan even though, to the best of my determination, all the codes indicate it should have been. I am sending copies of both to Dana Alessi for an explanation.

Mary Kay Murray
October 20, 1981

(Ms. Storey, who previously was responsible for WR selection, periodically marks those items she feels she would have selected under the firm-order system. They are then checked for coverage by the approval plans, to measure comprehensiveness.)

To selectors dealing with this plan

BNA Performance Report--GL Approval Plan November 5, 1981

Dana Alessi has provided these figures for the approval plan, covering February 20 through August 31, 1981:

Books sent	674
Books kept	609
Return rate	9.6%
Forms sent	2735
Forms confirmed	817
Form acceptance rate	30%

Dana also says this form acceptance rate is a very good indicator that the profilin makes enough allowance for marginal areas without implying the need for revision in certain subjects.

Our internal figures for the quarter covering June 30/September 30 show expenditure $7549.62 for 394 books, at an average cost of $19.16. Of titles returned, 70% were duplicates and 30% were considered unsuitable for the collection.

Only 4% of the books received were rejected this time because of the "upper undergraduate" parameter. The large majority of returns were subject problems, chiefly in business and religion. Carol Holbrook has since revised the business profile, and close investigation of the religion books revealed a profile transcript error on BNA's part which has now been corrected.

As previously noted, Linda Storey's most recent Weekly Record study showed that 79 of 81 checked titles had been covered appropriately. Dana is still investigating the reason for the two omissions (as well as the descriptor assignment for the Sheridan Baker book), and her findings will be passed on.

Dana will be in the area on November 16 for another purpose, so if you have any quest or observations please let me know and I'll pass them on.

Mary Kay Murray
November 5, 1981

UNIVERSITY OF MICHIGAN

To selectors dealing with this plan

Yankee Approval Plan Quarterly Report -- GL 6-30-81/9-30-81

This report is based on manual counts from internal records. It will be supplemented by Doug Duchin's own analysis, which he has promised to send soon.

A. Receipts, returns, billings

Books shipped	285
Gross billings	$5917.10
Average cost per book	$20.76
Returns	53
Return rate	18%
Books kept	232
Net billings	$4816.32

B. Analysis of returns: total=53

1. Duplication	33
A. Collections duplicated	
GL	25
Social Work	3
UGL	3
Architecture	1
Public Health	1
B. Reasons for GL duplication	
1981 imprints announced and firm-ordered in 1980	8
Joint publication (British trade/ U.S. university presses)	7
Firm-ordered to ensure receipt	5
Standing orders	3
Variant edition	1
Supplied twice on approval	1
2. Unsuitability	19
Subject	16
Nat sci	7
Astronomy	1
Recreation	2
Social work	2
Medicine	1
Transportation	1
Nutrition/education	2
Level	3
Undergraduate	1
Popular (cookbook, treatment of insect bites)	2

C. Implications

Return rate of 18% is higher than last quarter. Areas of high incidence:

1. 1980-81 imprint overlap--start-up problem which will continue to decline.

2. Joint publication (British trade, U.S. university presses). This phenomenon seems to be becoming fairly common, and it catches us between BNA and Yankee. Will talk to Dana and Doug to see if they can screen for joint publication. However, we would need to be sure any adjustment ~~made~~ won't cause us to miss material.

3. Subjects. Natural science was the big problem; Yankee sent several field guides and technical works. Discussed this with Doug at ACRL and sent documentation for all inappropriate titles. Doug said he will watch for this in the future.

Yankee Performance Data Through 6-30-81

1.

Books sent	588
Books returned	76
Return rate	13%
(Duplication	11.8%
Unsuitability	1.2%)

2.

Duplication		69 titles, 11.8%
(GL	-	66
UGL	-	3)

Duplication of	
Standing orders	1.7%
Firm orders	10.1%

The latter figure is largely a result of first-year overlap and should decline considerably as time passes.

3. Unsuitability 7 titles, 1.2%
   - American Medicine in Transition, Illinois
   - Foil Fencing, Penn State
   - Orbiting the Sun, Harvard
   - American Battleships, Naval Institute
   - Mariner's Guide to the Electronic Calculator, Naval Institute
   - Child Abuse, Columbia
   - Columbia River Salmon, Washington

4. Fund 090 expenditures through June 30, 1981 (counts only books received and paid for before fiscal year-end)

Expended	$7829.99
Number of books	351
Average cost	$22.31

To E-T librarian

Engineering-Transportation Approval Plan

1. Books shipped	259
Total cost	$7735.69
Average cost/volume	$29.87
Average discount	11.23%
Books returned	23
Return rate	8.8%

2. Titles by classification

	Received	Returned
Not classified	12	0
BF	1	0
GB	1	0
GC	2	0
HD	15	2
HE	4	1
HF	14	0
JX	2	1
P	1	0
Q	1	0
QA	45	10
QC	7	1
QD	2	0
QP	2	1
R	2	1
RA	1	0
T	11	2
TA	36	0
TD	6	0
TH	6	0
TJ	21	1
TK	41	1
TN	8	2
TP	14	0
TS	2	0
VM	2	0

3. Analysis of returns

a. Returned due to duplication	35%
Returned as unsuitable	65%

b. Unsuitable titles

Only three of the 23 were apparently too low in level. Two were basic math books, and one was a lab manual.
Of the rest, most were noted only "Not wanted" and thus are hard to classify. Presumably, though, they were marginal in subject. The table on receipts and returns shows a particularly high return rate in QA, Math, but I would imagine that your collections needs here are so highly specialized that it would be hard to profile differently without missing out on many things you want.

Of the titles clearly rejected for subject, two (Physics for Science and Engineering and Introduction to PASCAL) were considered insufficiently relevant to engineers. Other titles, though fitting the profile, were also marginal in subject: arms control, fusion plasma analysis, etc.. One title, concerning manganese deposits was of some interest, but too expensive at $96 to justify adding to the collection.

Apart from the Math area. there is little to suggest that we might consider refining the profile. In any case, your concern is that you are getting too little rather than too much. Once we have finished searching the circulars you provided I will provide you with more data in this area.

MICHIGAN STATE UNIVERSITY

LIBRARIES
EAST LANSING · MICHIGAN · 48824

July 7, 1980

Subject: Report on Approval Plans

I. PREFACE

A specific objective of the Acquisitions Division during 1979/80 was the investigation of the desirability of additional approval plans, especially in narrowly defined special areas. This report is the result of the investigation.

One reason for the desirability of the study became increasingly important as the year went on, and that was the possibility that such plans could save the library money. This inevitably led to the investigation of large approval plans.

II. REASONS FOR APPROVAL PLANS

Approval plans are entered into because a library feels that they are more successful in meeting its objectives than pre receipt selection and specific orders, usually for one or more of the following reasons:

A. Save Staff Time

1. Acquisition

We have long believed that there was some saving in the handling of blanket order or approval plan material in comparison with specific orders, but our study for this report was the first time the problem was systematically analyzed and computed. We find that we accrue the following gross savings per title in processing books on blanket orders in comparison to processing specific orders.

Searching Section	2.23 minutes
Receiving Section	
Books Receiving	5.82 minutes
Invoicing	1.13 minutes
Total	9.18 minutes

These figures are gross figures because they only take in to account those things in our current specific order processing that we would not have to do with blanket order books. The time required for tasks associated with the approval plan that we do not now perform should of course be deducted, but these tasks are not measurable at this time and the time cannot be estimated. We do not anticipate that the time involved would be great, and we have in consequence used our survey figures in calculations below.

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Obviously the time saved would depend on the number of books involved in such a plan. On a small specialized plan the savings would be negligible; on a large plan the savings would be more substantial.

If we were to combine the following two plans (the largest given me) listed below:

	Cost	No. of Titles*
Texas A&M Domestic, B & T	$250,000	16,000
Florida State British, Blackwell	81,000	3,700
	$331,000	19,700

we would handle 19,700* titles and would have the following savings:

Searching	.41 man years (61 hours per month)
Receiving	
Books Receiving	1.07 man years
Invoicing	.21 man years (31 hours per month)

On the other hand if we just took a domestic plan like Stanford of 6,200* titles costing $100,000 (Blackwell) the savings in Acquisitions would be as follows:

Searching Section	.13 man years (19 hours per month)
Receiving Section	
Books Receiving	.34 man years (50 hours per month)
Invoicing	.07 man years (10 hours per month)
Total	.54 man years (79 hours per month)

Thus, while time is saved it is not at the position-saving level.

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* Do not include supplemental "form" orders.

2. Selection

One of our major reasons for establishing our two Slavic language and our German and French approval plans was, in essence, to save time. We did not have the bibliographic staff to do the book selection. We still have these plans. The profiles have been modified. We have recently had bibliographers to monitor them but they are still saving us time.

Below is an analysis of our Russian and East European procurement.

FY 79/80	Titles Selected	Cost	Returns**	% Returns
Russian				
Blanket Orders	1,376	$10,038	60	4.18
B-Orders	121	2,299		
Total	1,497	$12,337		
East European				
Blanket Orders	635	$8,307	40	5.93
B-Orders	38	669		
Total	673	$8,976		

Searcher sends Blanket Order invoices to bibliographer who reviews the list and then examines only those titles that seem questionable. He does not review Knizhnaia Letopis. The bibliographer states that 2/3 of his orders are antiquariat. He also orders additional Soviet law to supplement the recently acquired Soviet law collection and some western European Russian language imprints. B-orders only represent 8.15% of our Russian selections and 8.63% of our Eastern European selection. Almost 92% is received on the approval plan.

These two approval plans are still our primary source of current Slavic publications even though we now have a bibliographer. The low return rates indicate that these plans are satisfactory tools for the acquisition of current imprints and this has permitted the bibliographer to devote himself to antiquariat and supplemental materials.

Statistics on Slavic procurement were collected because the limited number of vendors enabled this to be done quickly. However the French and German blanket orders are certainly the main prop of current procurement for those countries since a major responsibility of the bibliographers

---

** 68% of the Russian and 23% of East European returns were generated by the searcher rather than the bibliographer.

has always been the selection of antiquariat material. Statistics on these blanket orders only are given below..

	Titles Selected	Cost	Returns	% Returns
French	566	$9,528	43	7.60
German	557	$12,640	35*	6.28

B. Lower Prices for Domestic Publications

Blackwell offers a blanket 10% discount and Baker and Taylor a 13% discount. These might be negotiated higher on a large order or if certain materials were excluded. The multi copy purchasing possible for a large blanket order dealer should assure larger discounts than from our regular vendors. Savings of $12,500 are possible on a large plan with Baker & Taylor.

C. Improvement in Quality of Selection of Current Imprint Material.

In comparing selection through an approval plan and our current practice one must realize that we are not comparing with perfection. We do select an occasional children's book from the WR and BNB which we can catch before processing. We certainly select a larger number of other books which we would not have selected if we had examined them before ordering. The number and percentages are not known. This sort of thing is unavoidable and inevitable unless you have the item in hand.

Then we know that two different,well qualified, members of our staff could review the same WR and would not select an identical list of publications.

Approval plans probably improve selection by giving the selector the opportunity to examine the books and return those that don't meet the library's standards. One simply can't make as valid decisions from many citations as one can from the books themselves. The problem is the material that one might anticipate would be included in the plan and is not. This can be mastered in part by a proper profile and the realization that you have to supplement the plan by judicious bibliographic selection and that you always miss some items no matter what the system is.

---

*19 of these were returns in June

A large approval plan improves the quality of the selection in two additional ways:

> The profile provides a codification of our needs and promptly delivers for selection the current material relating to those needs.
>
> The profile would assist us in allocating financial resources to the various units with some relationship to the current publications being issued in the various fields.

D. Available Bibliographic Sources are Inadequate and a Vendor, Because of Specialization, Location, Contacts, etc., is Better Able to Identify Desired Publications.

This is certainly one of the reasons for the American Poetry and the African Approval plans and would be a reason for a Spanish and/or Italian plan.

E. Procurement is Difficult Due to Disorganized Book Trade, Export and Current Problems, Type of Publisher, etc.

Again, this is one of the advantages of the African approval plan and even enters into the American Poetry plan where it is difficult to locate addresses for the many small publishers or a jobber who can handle the orders.

F. Publications Received More Promptly.

This is certainly true of our foreign approval plans and would in general probably be true with most books on domestic plans.

III. MINOR APPROVAL PLANS

In recent years there has been talk with individual selection personnel on an approval plan for the University Press Publications and Spanish books. On the Spanish books we went so far as to get recommendations on vendors and to determine their interest in handling our business. We have made some exploratory contacts with the Yankee Book Peddler on University Press approval plans and, of course, Baker and Taylor and Blackwell, North American could handle such a plan.

Both a Spanish and Italian plan would be useful because of poor bibliographic coverage. We are currently heavily dependent on vendor listings for our selections. A University Press approval plan would eliminate the objections that were raised to our defunct U.P. blanket order.

IV. MAJOR APPROVAL PLANS

Any substantial savings in time and money or improvement in selection would require a major approval plan. This would require first and foremost the ability and commitment of selection personnel to work with a profile. A positive attitude on the part of selection personnel is essential. The size and cost of a plan desirable for this library could not be known prior to profiling but the following information should be useful in decision making:

A. How much money is available?

B. How much does an approval plan cost?

Listed below is the information I have on the size and cost of a number of approval plans:

DOMESTIC

Baker & Taylor	No. of Books	Amount/Dollars
Arizona State	15,023*	$240,000
California State	13,791*	220,000
Ohio State	12,232	205,000
Texas A&M	15,923	250,000

* includes British books

Blackwell, North America	No. of Books	Amount/Dollars
University of Iowa	11,500	184,000
University of Maryland at College Park	7,640	120,000
The University of Oklahoma	7,200	115,000
Temple University	6,690	107,000
University of California at Irvine	6,520	104,000
Stanford University	6,250	100,000
Old Dominion at Norfolk, VA	6,262	100,500
The University of Florida	5,938	98,000

BRITISH

B. H. Blackwell	No. of Books	Amount/Pounds
Florida State University	3,681	34,418
University of Arizona-Tucson	2,464	23,042
University of California at Irvine	2,534	23,694
Old Dominion at Norfolk, VA	2,943	27,521
Brigham Young University	2,117	19,793
University of Wisconsin/Milwaukee	2,033	19,008

All of these figures are for 1979 and would have to be inflated. Blackwell suggestes an inflation factor of 12% for British and 22% for Domestic. The figures also do not include form selections which could increase the dollar amounts substantially.

STANFORD UNIVERSITY LIBRARIES

MEMORANDUM

TO: Wayne Perryman, Margaret Yanighahara

DATE: April 23, 1980

FROM: John Rawlings

SUBJECT: Duplicates received on approval plans

Attached you will find summary sheets showing return rates for SUL English-language approval plans.

You see that in 1978/1979, about 15 per cent of all titles received on approval were returned, and of these, 53 per cent were returned because they were duplicate, rather than rejected titles.

Problem areas are:

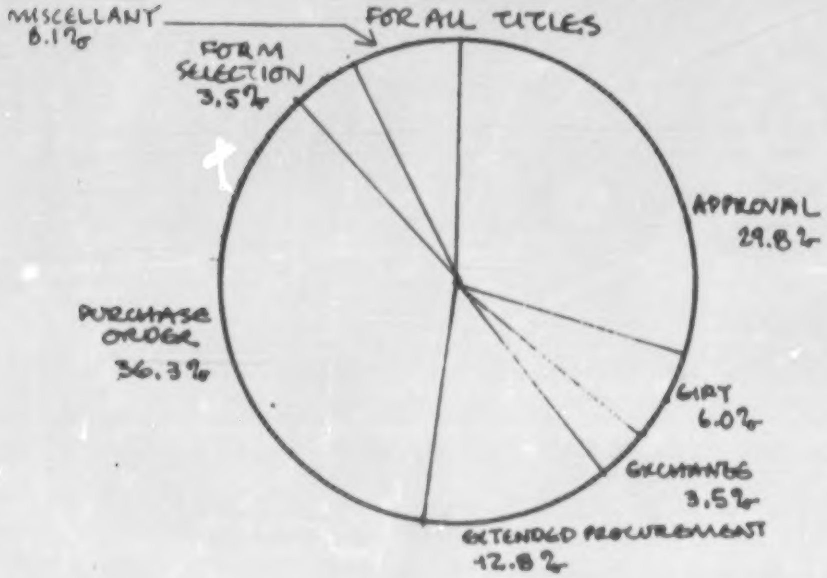
1) Titles in series (9 per cent of duplicates returned)
2) Titles published in the U.K. and distributed in the U.S., or the reverse situation (40 per cent of duplicates returned)
3) Titles published "simultaneously" in the U.S. and U.K. (40 per cent of duplicates returned)

This is no new news to you. Will you help me interpret the data for Paul to help him improve the approval profiles and provide specific issues for discussion and possible improvement of service on the part of the vendors? In addition to the return-rate summary sheets, I have/information on duplicates received on each of the plans which was extracted from BALLOTS.

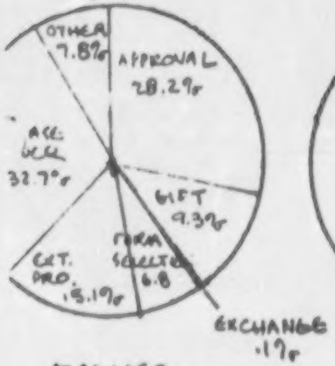
D. PLACE OF PUBLICATION BY PROCUREMENT TYPE *

* Extracted from Stanford University Receipts Survey 1980/1981

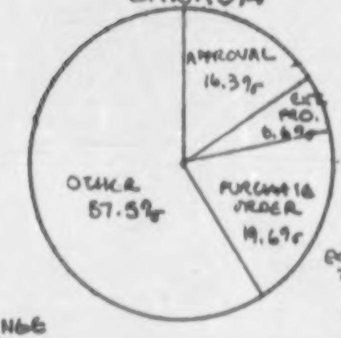
PCT. PROCUREMENT TYPE FOR ALL TITLES



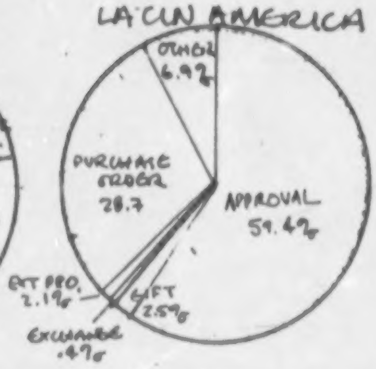
U.S.



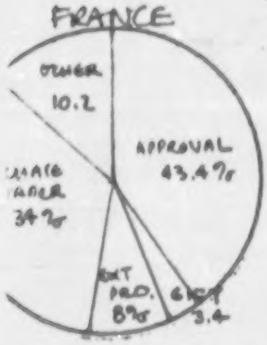
CANADA



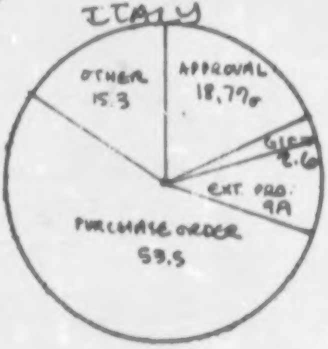
LATIN AMERICA



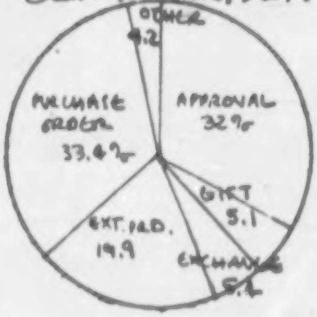
FRANCE



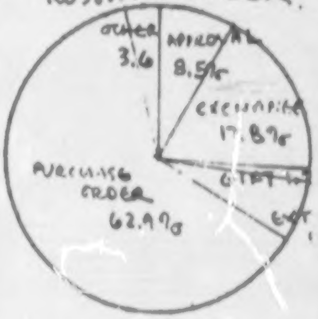
ITALY



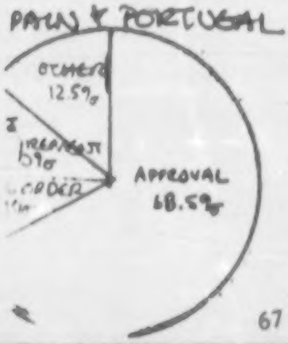
GERM/AUSTR/SWITZ



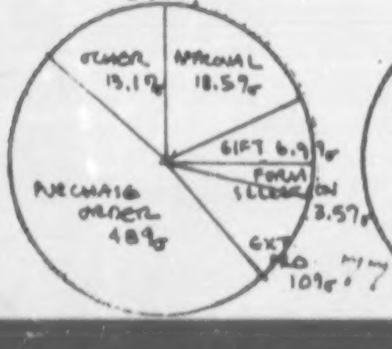
RUSSIA & E. EUR.



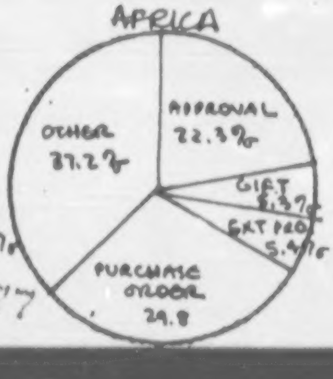
SPAIN & PORTUGAL



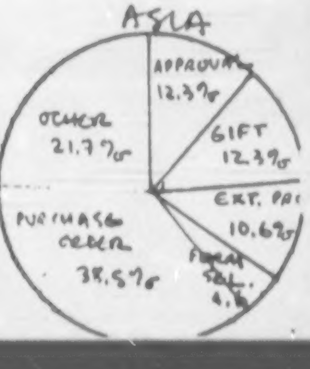
U.K.



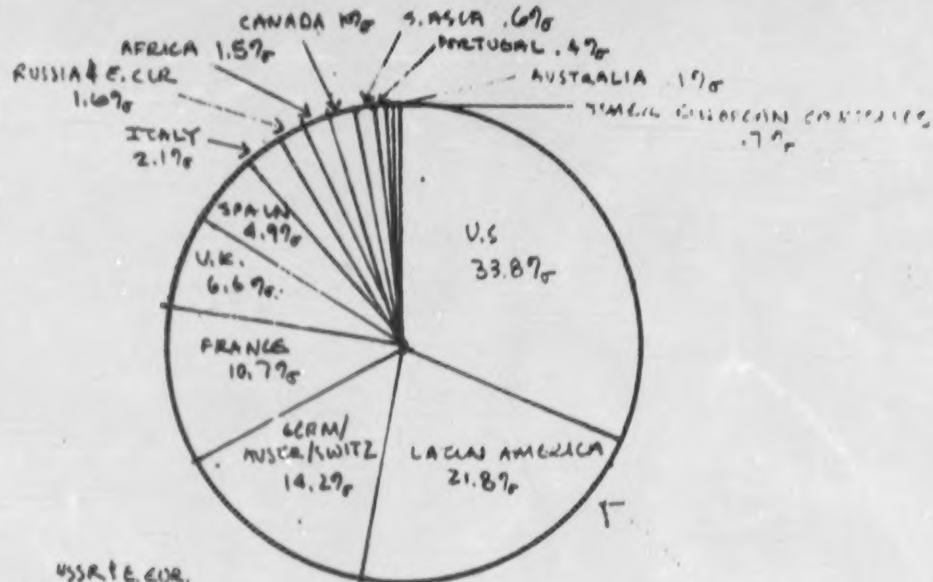
AFRICA



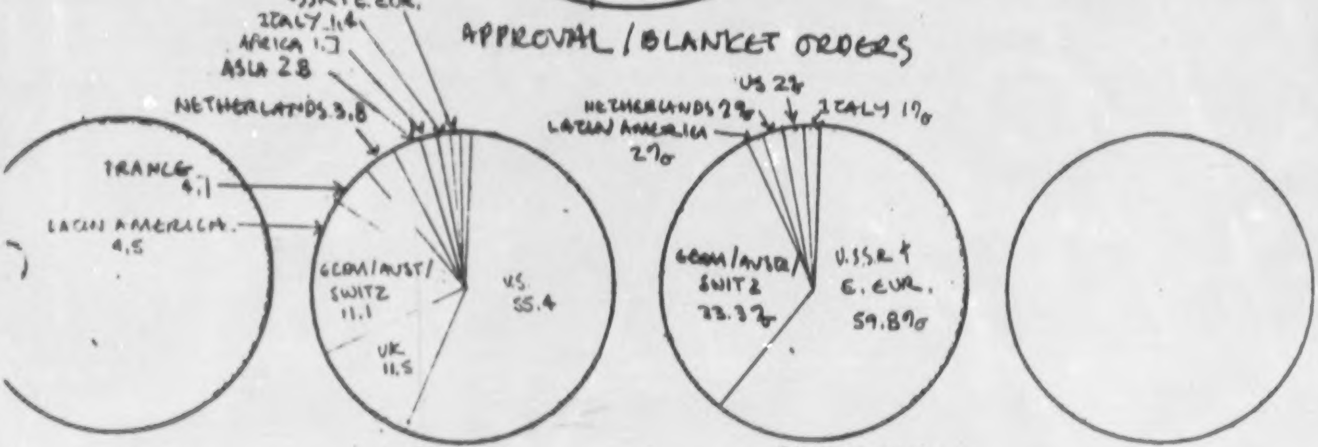
ASIA



E. PROCUREMENT TYPE BY PLACE OF PUBLICATION

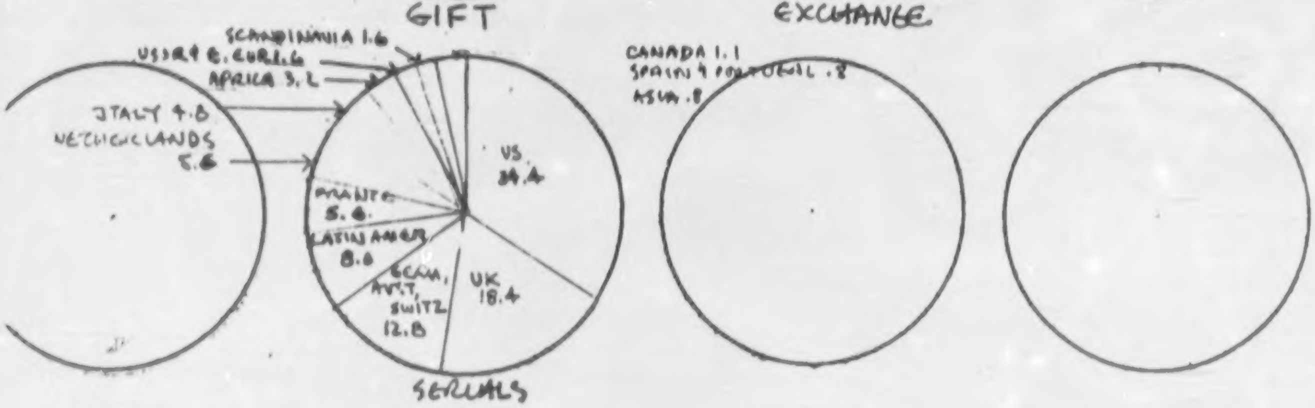


APPROVAL / BLANKET ORDERS

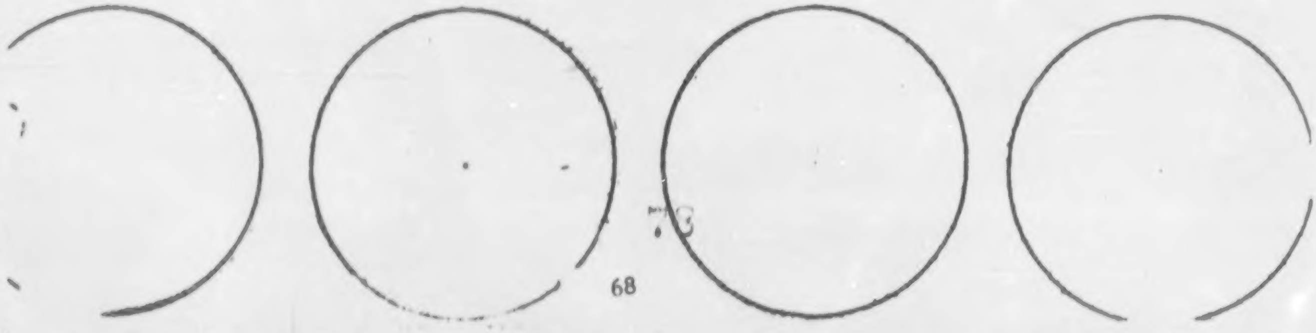


GIFT

EXCHANGE



SERIALS



February, 1980

ENGLISH LANGUAGE APPROVAL PLANS: RETURN RATES[1]

U.K.	received	accepted
78-79	859	767
79-80		

U.K. Approval Plan

	Books sent on approval	No. rejected	%	Dups.[2]	%	Total returned	%
1st & 2nd Qtr. 1978-79	426	5	1.2	56	13.1	61	14.3
3rd & 4th Qtr. 1978-79	433	6	1.4	25	5.8	31	7.1
1st & 2nd Qtr. 1979-80	445	7	1.6	30	6.7	37	8.3
3rd & 4th Qtr. 1979-80							

Canadian Approval Plan

	Books sent on approval	No. rejected	%	Dups.[3]	%	Total returned	%
*3rd & 4th Qtr. 1978-79	52	2	3.8	2	3.8	4	7.6
1st & 2nd Qtr. 1979-80	119	5	4.2	4	3.4	9	7.5
3rd & 4th Qtr. 1979-80							

*Plan began in February 1979

UP	received	accepted
78-79	2,189	1,910
79-80		

University Press Approval Plan

1st & 2nd Qtr. 1978-79	1,160	40	3.4	112	9.7	152	13.1
3rd & 4th Qtr. 1978-79	1,029	36	3.5	91	8.8	127	12.3
st & 1979	[illegible] 6o	36	3.6	75	7.6	111	11.2

79

Domestic Trade	Rec'd.	Accepted	Form Selections	Total
1978-79	5,654	4,715	1,042	5,757
1979-80				

Domestic Trade Approval Plan

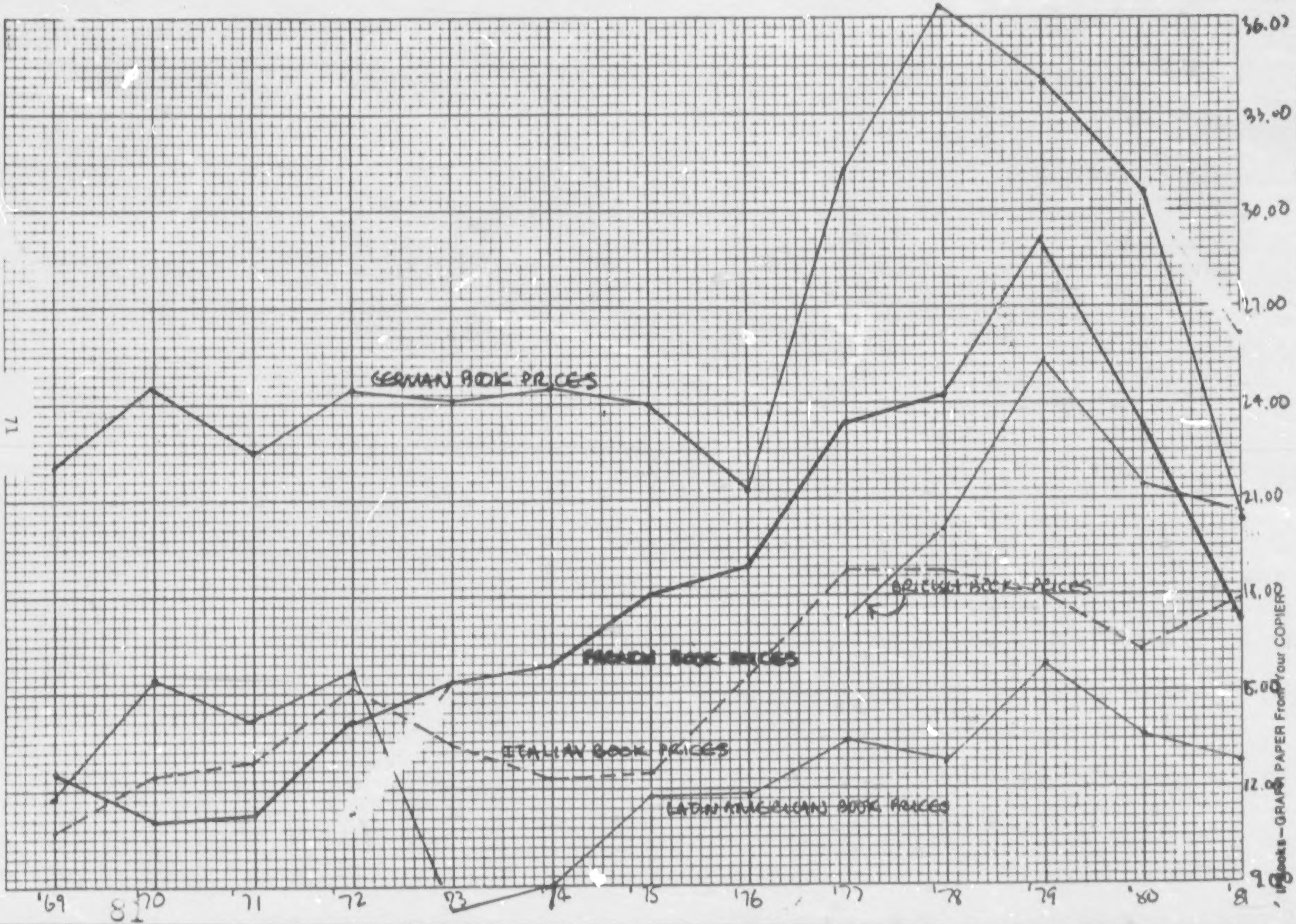
	Books sent on approv.	Rej.	%	Dup.	%	Total Returned	%	Books selected from forms	Form selection books retained	Total approval and form books accepted	
~~3rd & 4th~~ ~~Qtr~~. 78/79	3,165	270	8.5	225	7.1	495	15.6		573	3243	5757
	2,489	255	10.2	189	7.6	444	17.8	492	469	2514	
1st & 2nd Qtr. 79/80	2,261	166	7.3	164	7.2	330	14.6	805	774	2705	

SUMMARY - ALL ENGLISH LANGUAGE APPROVAL PLANS

	Books sent on approval	Rej.	%	Dup.	%	Total Returned	%
1st & 2nd Qtr. 78/79	4,751	315	6.7	393	8.4	708	15.0
3rd & 4th Qtr. 78/79	4,003	299	7.5	307	7.6	606	15.1
1st & 2nd Qtr. 79/80	3,814	214	5.6	273	7.1	487	12.7

Foreign Approval Book Costs: 1969-1981

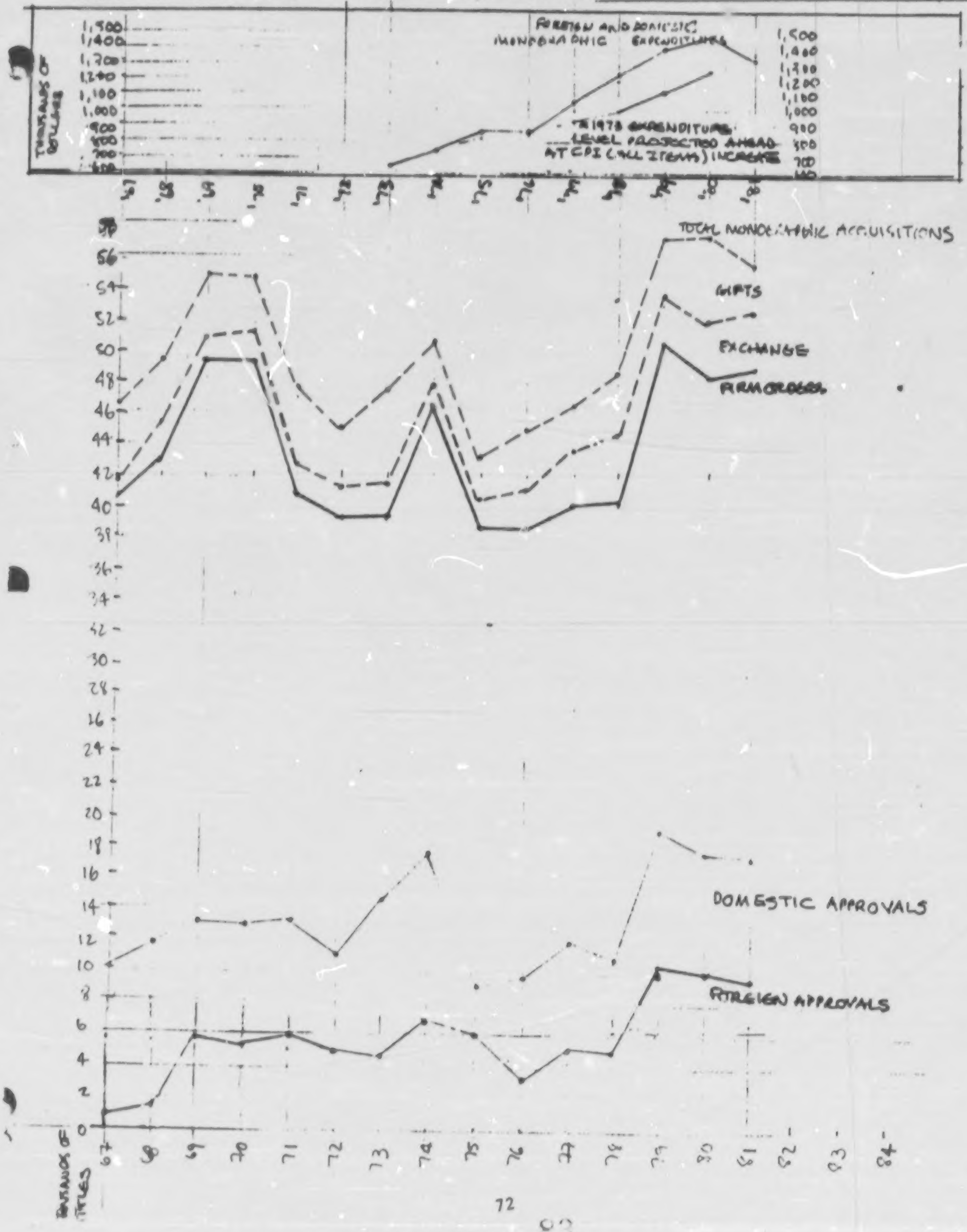
In Constant Dollars (July, 1981)



2 millimeters/Division—5th, 10th Accen
—GRAPH PAPER From Your COPIER

MONOGRAPHIC ACQUISITIONS (EXCLUDING DOCUMENTS): 1967-1981
[MONOGRAPHIC EXPENDITURES IN INSET]

*Table extracted from Stanford University Libraries Library Material Expenditure Study 80/8



GENERAL COMMENTS, DESCRIPTIONS OF PLANS, GUIDELINES

UNIVERSITY OF TORONTO

DEALER SELECTION ORDER SYSTEM

Basic principles underlying acquisition of current books by the DSO system *

1. That books are at their cheapest, both in terms of current dollar values and in absolute terms, when they are first published.

2. That it is only feasible to collect comprehensively in any field when books are first published, since this is the only time when the full range of what is published is readily available.

3. That this form of acquisition lends itself to procedural simplifications which result in very significant savings in time and money. The cost per title of acquiring books by the DSO method is far cheaper than the cost of acquiring them in the more conventional way.

General coverage

Important new works which, in their treatment of subject interest, are thought to be of potential research value. In theory, this broad statement is open to a wide variety of interpretations. In practice, it is not since, wherever possible, we use dealers who have been supplying large university libraries for many years. In effect, we are asking them to supply books which, in their experience, are needed to support university graduate research programmes.

Language coverage

For the most part, we make no attempt to exclude works simply on the grounds that they are in little-known languages. In most of the Physical and Life Sciences, however, our coverage is largely confined to works in English, where coverage is broad, and to works in German and French, where coverage is far more selective. Apart from this, Mathematics is included in nearly all our DSOs and Geology is included in our Soviet DSO.

Main Exclusions

A. Categories of material

1. General expositions or popularizations which one can assume to be well covered in more academic works.

2. Textbooks, either all textbooks or those below specified levels. Our instructions vary slightly from subject to subject and from country to country.

3. Most Children's books.

4. Most translations into languages other than English.

5. In the Humanities and Social Sciences, new editions which have not been substantially revised and/or do not contain significant additions to the original work.

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* DSO = Dealer Selection Order

This exclusion does not apply to the Physical and Life Sciences, where all new editions irrespective of the degree of revision are to be supplied.

B. Subjects

1. Works in the field of education below university level which are not also of obvious importance to other disciplines. We regard this area as the responsibility of the libraries of the Faculty of Education the Ontario Institute for Studies in Education.
2. Works on the science and practice of law which are not also of obvious importance to other disciplines. We regard this as the responsibility of the Law Library.
3. Works dealing with agriculture which are not of interest to economists or economic historians. We regard "agriculture for agriculturalists" as Guelph's responsibility.

Until recently, we also excluded "theology for theologians". We now buy in this area on behalf of the Toronto School of Theology.

Policy and practice

A more detailed acquisitions policy for current publications could probably be extrapolated from our DSO contracts and, to a greater extent, from the Book Selection Department's voluminous DSO correspondence, but the value of producing a document from these sources is questionable. It would certainly be in constant need of revision, since the DSO system is not something fixed and immutable but represents the application of basic principles to a constantly changing situation. It is, after all, impossible to predict exactly what is going to be published next year or even tomorrow. For this reason, we operate on the basis of precedent to a very considerable extent. Our correspondence files are full of supplementary instructions based on generalizations derived from specific examples.

We are careful never to lose sight of the fact that every book is unique. For example, in selecting German local history we might adopt the principle that, in general, we should confine ourselves to important cities and geographical entities which, at some time in the past, were independent political units. We would not apply this principle blindly, however. The author's credentials, the nature of the work and the importance of the place studied would all be taken into account in individual cases.

Fortunately, in most cases, we are able to measure the dealer's performance against the total output of the country covered, since dealers are asked to mark their selections in whatever comprehensive national or trade bibliographies are available. We can then not only make additional selections (which we do on a large scale. See below) but question a dealer's failure to select certain items which, we feel, should have been selected. For some areas, (Africa and Latin America, for example) no suitable bibliographies exist. In these cases, we are inevitably forced to place more reliance on our dealer's judgement.

To some extent, we even stand to gain if he does not adhere strictly to the letter of our instructions. For example, if our African DSO dealer had interpreted our instructions literally we would never have received a number of locally issued reports on the Sahelian drought.

Anticipated needs of the University

How do we anticipate needs? Probably this is largely a matter of logical inference. Some fields (animal husbandry, for example) will probably never be taught at the University of Toronto. Others may be, either because they would simply be logical extensions of existing programmes or because the fact that the University does not teach them now seems to be no more than the result of accidental circumstance. Often both factors apply. Apart from this, we feel that we are under an obligation to provide future generations with a balanced collection even though, beceause of the nature of the interests of present members of the teaching staff, graduate courses and research programmes in certain fields may overstress certain aspects of a discipline at the expense of others.

Procedures for Handling University Press Standing Orders

I. General Guidelines

Dartmouth College Library currently maintains standing orders for the publications of selected university presses. These are listed on page 3. Most of the standing orders are placed through a vendor, Yankee Book Peddler. A few are received directly from the Presses including Cambridge University Press and Oxford University Press. In all cases the following materials are excluded:

New serials
Reprints
Elementary text books
Books in other than Western European and Russian languages
Materials costing more than $50.00
Law - unless of general, political science interest
Engineering
Medicine

II. Procedures

To ensure efficient processing, timely claiming, speedy receipt, and to take advantage of the capabilities of the automated acquisitions system, the following process will be followed:

1. Upon receipt of each university press catalog in the Serials Section, the assigned processing technician will route catalogs to the appropriate selectors in Baker, Sherman, and Kresge. The processing technician will maintain a file of routed catalogs to allow follow-up.

2. Each selector will expedite routing as much as possible. Selectors will review the relevant subject sections in catalog and mark titles as follows: First, titles which we want to add to the collections and which are outside of our profile will be marked: please order. For each separate order the appropriate charge will be indicated. Second, titles which we do not want to add to the collections and which are within the scope of the profile will be marked: no (for do not add).

   N.B. It is not necessary to mark titles falling within the scope of the profile.

3. Catalogs will be returned to the Serials Section. The assigned processing technician will review each catalog and notify the vendor or press of deletions from the standing orders. The technician will also delete materials outside the collecting scope from the catalog.

4. Catalogs will be forwarded to Order and Receipt. Orders will be prepared for items marked: please order. The

processing technician will input all titles except items marked no (=do not want) and ongoing serials into the Dartmouth acquisition system; however, new serial subscriptions will be input.

5. All university press books will be received in the Serials Section. Materials will be held for 10 days for review by selectors. After this review, titles within a numbered series, works-in-parts and all serials will be processed by the Serials processing technician in accordance with regular procedures. Monographs and unnumbered series will be forwarded with the invoice to Order and Receipt without processing.

6. Correspondence with the vendor and returns of incorrect orders or unwanted items remain the responsibility of the Serials Section.

7. Order and Receipt will update records in the acquisitions system to show receipt. Items will be charged to Sanborn (ESAN) or AMB as appropriate except books ordered separately will be charged to the appropriate account. Materials will be further processed in accordance with regular procedures.

III. Claims

The acquisitions system will generate automatic claims for overdue materials.

IV. Holds

Selectors will notify Order and Receipt to indicate "holds" on outstanding monographic orders. Order and Receipt will update the acquisition system accordingly. For serial holds selectors will notify the Serial Section.

September 25, 1981

University Press Catalogs for which Dartmouth College Library maintains standing orders

Alaska University Press
British Columbia University Press
California University Press
Cambridge University Press
Chicago University Press
Columbia University Press
Cornell University Press
Duke University Press
Florida University Press
Harvard University Press
Illinois University Press
Johns Hopkins University Press
Massachusetts University Press
Minnesota University Press
New York University Press
North Carolina University Press
Oxford University Press
Princeton University Press
Rutgers University Press
Stanford University Press
Texas University Press
Toronto University Press
University Press of New England
Washington University Press
Wisconsin University Press
Yale University Press

UNIVERSITY OF VIRGINIA LIBRARY
Inter-Office Correspondence

Date: November 3, 1975

To Ray W. Frantz, Jr.
Kenneth G. Peterson
Dept.

From Kenneth O. Jensen
and the Bibliographers
Dept.

PROPOSAL TO REDUCE APPROVAL ORDER PLANS

I. Before approval order plans were begun at the University of Virginia Library, the teaching faculty selected most of the books that were purchased with inevitable gaps and unbalanced collections resulting from a lack of consistent and coherent book selection. As the book budget increased faster than the number of new library staff positions, seven approval plans for the humanities and social sciences were instituted from 1968-1973 to ensure a broad-based acquisitions program for current imprints in all pertinent subjects with a minimum of staff effort. Although the approval plans required regular review and profile changes, it was impossible at that point in time for the then available library staff members to perform comparable selection, and the alternative would have been to continue to rely on the goodwill of library-oriented teaching faculty. Given these conditions the approval plans served the purpose for which they were intended.

The present staffing and organization of the Bibliography Section, dating from 1 July 1972, illustrates the dramatic change that has taken place in the responsibility for development of the library's collections. From complete dependance on faculty we moved to partial dependance on book dealers in 1968 and then to placing 50% of the responsibility on bibliographers in 19[illegible]. Since 1972, an ever-increasing amount of the book budget and the consequent responsibility for selection have been assigned to the bibligraphers so that what was formerly little more than a pre-order searching operation has been transformed into a collection development office reporting to the Director for Collection Development and Acquisitions. A fairly young staff has matured and become ever more sophisticated in its knowledge of the existent library collections, the teaching and research programs of this university and its faculty, the book trade and its peculiarities, and with proven collection development techniques. What is being proposed therefore is a continuation of an already existent trend to transfer collection development responsibility from persons outside the library to qualified members of the library staff.

If the approval plans for Western Europe and North America were once appropriate, they have now become an anachronism that is not as cost-efficient, responsive, and labor-saving as they once appeared, and our own direct experience over the past several years contradicts the arguments often put forward in behalf of the approval orders concept, namely, that selection costs can easily and cheaply be passed on to dealers, and that approval plans get the books to libraries faster. Both of these premises, we believe, are untrue, at least for libraries with Acquisitions Departments the size of our own, and a search of the literature on the subject suggests that most of the pro-approval orders statements reflect the lack of competent personnel that was true of this library prior to 1972 as well as a failure to take into account the costs of monitoring approval plans. Worse still, one survey has shown that an alarming number of libraries are not even aware of the need to monitor.

I. On the issue of "automatic" selection by non-librarian dealers, our experience with their service and cost-effectiveness is summarized below. For an *in extenso* statement of an analogous experience and point of view, see the somewhat over-stated article by Roscoe, Rouse, "Automation Stops Here: A Case for Man-Made Book Collections," in *College and Research Libraries*, v. 31, May 1970, pp. 147-154.

1. We have learned that recognizing what our dealers have *not* sent is as important as reviewing what they *have* sent on approval. Consequently, the bibliographers spend as much time reading the national and trade bibliographies that our dealers use, in order to identify potential additional selections (which are then firm-ordered), as they would if they had total responsibility for selection. Logic indeed suggests that their selections are more likely to be sensitive and responsive to Virginia's needs than those made by a book selector based many miles away in a dealer's office who does not benefit from daily contact with a university environment or from the information network that the bibliographers have developed. Much of the apparent success of the approval plans in recent years is really attributable to the large number of additional selections identified in the course of monitoring. To put it another way, the approval plans *per se* have not worked--the bibliographers' efforts have masked their deficiencies.

2. It is impossible to construct subject profiles that are both precise enough to reflect the specific needs of this university and clearcut enough to be followed by dealers who are simultaneously attempting to cope with the equally complex instructions of other institutional customers.

3. As a corollary to the above point, we have at times had return rates higher than those deemed acceptable by the professional literature on the subject. Conversely, we have one plan where the only available selection tool, to which the profile is keyed, is so unstructured that we must firm order more current imprints as additional selections than we receive on approval.

4. The "privilege" of return connected with the approval order concept is not as much of a bargain as it might seem, since we pay return postage costs. As pending increases in postal rates go into effect, right-of-return might turn into more of a luxury than an advantage.

5. Because of the impossibility of constructing perfect and workable profiles, there is a subtle pressure to accept books which are technically covered by the existing profiles and which we cannot in all good conscience return. Some of this borderline area concerns level of research, both high and low, and it would take a Byzantine flowchart or Rube Goldberg to construct a profile that would instruct a dealer to send us, for example, *A Diachronic History of the French Language*, but not to send us *A Study of the Enclitic Particle in French Literature From 1560 to 1563*.

6. Because it is impossible to predict with any certainty what will be received on approval, some bibliographers maintain "tickler" files of order cards which must be repeatedly checked against approval plan receipts until it can safely be assumed that there will be no duplication. Bibliographers, and the North American Bibliographer in particular, given the high visibility of U.S. publications, must regularly cope with the embarrassment of not being able to assure patrons that the books reviewed in their Sunday newspapers will "automatically" be received by the library. Most of these patrons would assuredly be satisfied with finding on-order slips in the Public Catalog and these would reinforce their respect for the competence of the library staff. (A new procedure recently instituted provides for patrons to be notified when books ordered by the bibliographers have been catalogued and made ready for use.)

7. Because of shrinking press runs, we are increasingly finding out that books have gone out of print by the time the "tickler" files can safely be acted upon, and we are faced with the price markup of the antiquarian market, not to mention the failure to provide responsive service to our patrons.

8. In an inflationary era, the approval plans make it impossible to take advantage of what may be sizable pre-publication discounts.

9. Approval plans tend not to supply non-trade titles even though they are of great research value since they often do not appear in the dealers' selection tools. The bibliographers are often aware of these titles thanks to flyers and catalogues but they usually cannot take action because of the uncertainties connected with dealer selection. The result is often that we must out-of-

print search this material, a time-consuming, expensive, and far too often fruitless procedure.

10. The experience of our colleagues at the Harvard College Library (one of whose former staff members is now the North American Bibliographer) and the University of Massachusetts/Amherst, neither of which has had approval plans and whose volume of acquisitions in past years has been equal to or higher than our own, confirms our view that the present complement of bibliographers at the University of Virginia does not need to rely on the mechanics of approval order plans and that the result is likely to be a saving of time and effort. The recommendations of the Shaner Report are a further confirmation of this view.

With respect to speed of delivery, the situation is as follows:

1. It is clear from the literature on the subject that the performance of approval plans is usually being compared with the delays connected with outside faculty selection, i.e., our own situation prior to 1968, and not with selection by a well-organized staff of bibliographers.

2. The same literature suggests that the supposed clerical efficiencies of approval plans reflect the failure of the approval order partisans to re-examine and streamline their own existing library procedures. We have recently reviewed our pre-order searching patterns, and unnecessary details which have crept in over the years have been eliminated. The resulting efficiencies in time, together with the relocation of staff members, will make it possible for the Bibliography and Order/Receipt Sections to cope with a larger volume of business with little difficulty. (For an examination of the hidden costs of approval plans, seen Kathleen McCullough: "Approval Plans: Vendor Responsibility and Library Research, a Literature Survey and Discussion," College and Research Libraries, v. 33, Sept. 1972, pp.376-377.)

3. There is very little hard data on the speed of approval order dealers versus that of firm-order vendors, although a survey by one library indicated that on the average it took one week longer for the approval dealer to supply a title than it did for the firm-order vendor. The issue here is not really one of approval dealer versus firm-order jobber but of selecting the proper firm-order jobber and providing him with enough business to become one of his preferred and well-serviced customers.

4. To some extent, the issue of speed is a red herring. To quote Margaret Dobbyn ("Approval Plan Purchasing in Perspective," in

College and Research Libraries, v. 33, November 1972, p. 482): "Those who argue that the speed of availability is an important benefit of approval plan purchasing neglect the fact that this is actually not important for the great majority of books so purchased. Then too, after receipt many volumes are held up for cataloging and processing, negating in most instances the supposed value of speedy receipt." As mentioned above, most patrons are satisfied with the security blanket of finding an on-order slip in the Public Catalog and knowing that the book will be available when they really need to use it. This would eliminate many of the "Did you know that we lack such-and-such" statements which, whether meant to inform or to admonish, are a repeated cause of embarrassment for the bibliographers.

5. Finally, far too many titles specifically requested by patrons must go into hold files for an indefinite period of time instead of being ordered the next day. For us to take immediate action means risking an unascertainable amount of duplication with approval order shipments and a consequent rise in the rate of returns that would be unacceptable both to us and to our dealers. In the long run, it is hard to justify a system in which some books, even a majority, might arrive two weeks early while the others, their order cards consigned to a hold file, arrive six months late.

IV. The specific proposal, therefore, is to reduce the approval order plans to the following, effective 31 Dec. 1975:

1) Russia
2) Art Exhibition Catalogs-worldwide
3) Fine Arts books-U.S., Canada, Great Britain, France, Germany, Italy
4) Education books-U.S., Canada, Great Britain

Further specifics of the proposal and its implications for other departments, sections and libraries are as follows:

A. Education and Fine Arts Libraries-
Miss Anthony and Miss Dunnigan are not able to systematically monitor the approval plans at this time, due to the pressure of their administrative duties. They feel they have no choice but to depend on dealers for selection of current imprints, at least on a one-year wait-and-see basis, and to rely on faculty for retrospective titles. Consequently, approval orders would be continued for these areas. Blackwell-North America has indicated a willingness to continue approval plans in these subject areas. It is felt that there will be no problem with similar arrangements for France, Italy, Germany and Great Britain.

B. Music Library-
Miss Bonin feels that approval plans have been ineffective for music books and would prefer to do the selection. Searching will be done by the Acquisitions Dept.

C. Reference Dept.-
Mr. Stubbs prefers to do the selection for current imprints, as in fact he has already been doing in some instances.

D. Area Collections Dept.-
The proposal is agreeable, since the Acquisitions Dept. bibliographers will continue to select Slavic, Asian, etc., titles published in the West and are open to suggestions of Area Collections Dept. staff. Important organizational and societal publishers will be indentified and a special effort made to get on their mailing lists so that their publications are not overlooked, as has sometimes been the case with the approval plans.

E. Business Services-
Miss Ashworth states that the present staff can handle an increased work load as long as the book budget doesn't increase much above the 1974/75 level.

F. Cataloging Dept.-
Mrs. Bauer states that changes will have no effect on the Cataloging Dept. as long as the main entries are correct.

To: Mrs. Lin Good, Bibliographic Operations
Douglas Library

From: Dr. H. Kummer, Mathematics Department

Queen's University Memorandum

Date: May 8, 1978

Subject:

With regard to the questions raised at the meeting of the Library representatives, I should like to communicate the following replies.

1. With regards to Blanket orders: we should like to keep Blanket orders on the following list of ten Publishers:

   1. Academic Press
   2. Addison-Wesley
   3. Dekker
   4. McGraw-Hill
   5. Oxford University Press
   6. North-Holland
   7. Pergamon
   8. Prentice-Hall
   9. Springer-Verlag
   10. Wiley-Publishers

2. As to the number of honour Mathematics students (including the students from the Mathematics and Engineering Project): it is about 180 students.

3. Are we ready to trim the periodicals budget? Definitely not; there are at the moment about 12 new periodicals which have been ordered by members of the department and which we can not obtain due to lack of funds.

4. Are we ready to trim the monograph budget? Only very reluctantly

With regards to questions 3 and 4, I should like to underline the fact that for a Mathematics Department a good library is of vital importance, perhaps of similar importance as for an Applied Science Department such as Biology, Chemistry or Physics their experimental equipment. I therefore sincerely hope that we shall obtain a fair share of next year's library budget.

H. Kummer
Library Rep. Mathematics Dept.

To: Mrs. L. Good, Assistant Chief Librarian
Douglas Library

From: G. W. Hay

Queen's University Memorandum

Date: May 11, 1978

Subject: Chemistry Library allocation 1978/79

Dear Mrs. Good:

With reference to the questions posed at the recent meeting with departmental library representa I would like to reply as follows:

1. I would like to retain Blanket Orders for
   (a) all present continuations
   (b) monographs issued by Academic Press
   (c) monographs issued by Wiley-Interscienc

We will order all other monographs individually.

2. I cannot see how we can cut the actual dollar amounts to be allocated to serials or monographs. We shall have to cancel a number of lower priority journals and be more selective in monograph purchases because of the decreased buying power of the Canadian dollar. To have fewer Canadian dollars would make the situation very difficult indeed

Yours sincerely

G W Hay

Robert Manning Strozier Library The Florida State University
Tallahassee, Florida 32306

April 6, 1981

Re: Ltr. 3/23/81

Ms. S. Rooney
University Library
The University of Alberta
Edmonton, Canada T6G2J8

Dear Ms. Rooney:

We are pleased to reply to your letter of March 23, 1981. Answers to your questions concerning our BNA approval program are as follows:

Scope- We are quite pleased with the scope of our plan. BNA does an analysis each year, comparing the annual list of books Choice magazine recommends to their approval title selection. BNA usually covers at least 90% of the reviewed titles, accounting for the remaining 10% as being reprints, foreign titles, etc.

Effectiveness of negotiated plan- By this we assume you mean the computer profile as determined by our needs. The profile establishment is an intricate buiness involving many choices and decisions, but definitely worthwhile. We are very satisfied with ours but it needs periodic review as needs and publishing trends change. Revision and refinement are easy, and this is due in a large part to our excellent BNA service representative.

Return rate- Our return rate is quite low, about 10%. I find about 35% of our returns to be duplicates of books on order (patrons ordering books before they arrive on approval), or previously added to our collection from other sources. We have a very broad profile, and toward the end of the fiscal year, we tend to return more, rather than adjust our profile. There seems to be a very low error rate, i.e., sending duplicate copies, etc. We have an approval plan with B.H. Blackwell for British books, and also find only a small overlap between the two programs. They seem to be very well coordinated. In general, we do not concentrate on Canadian publications, but do receive a number that are individually evaluated. Receiving and returning procedures are reasonably reliable and efficient, our weekly shipments of 75-100 titles come with a magnetic computer tape compatible with our BATAB automated acquisition system, and while the billing cycle is too short for our payment procedures we have never found them unreasonable in their interactions.

I hope this information will prove helpful in assisting you with your decision-making. Please let me know if this brings to mind any questions, and I will be glad to answer them.

Cordially yours,

Sharon Rainbow

Sharon Rainbow
Library Technical
Assistant II

SOME CONSIDERATIONS OF APPROVAL PLANS

An approval plan is a concept whereby a vendor will ship a newly published title to a library without necessitating a previous order for that particular title. Titles that are received on approval plan that are deemed upon inspection to be inappropriate can be returned to the vendor. In some cases to save possible returns' expenses and thus, insure high discounts, the vendor will send a form-selection slip instead of the book. This usually occurs if the price of the title is higher than that allowed by the profile, the book format is questionable, the title falls outside the profile but is related to titles that are part of the profile or its subject is a related topic to the profile subjects. A form-selection slip is a form that cites author, title, publisher and other relevant data. If a book is desired after viewing the slip, the selector initials it and returns it to the vendor. The profile is a list, usually by LC classification (call number) that lists all the subjects in that area. The profile can be tailored to an individual library's need and thus ensure the proper coverage necessary for that collection.

ADVANTAGES OF APPROVAL PLANS

1. Timeliness: The approval system decreases the time lag between the publication of a book and its appearance in the library.

2. Comprehensiveness: Vendors will supply notification slips for all books published by specific publishers and/or on specific topics. The approval plan is also flexible enough to be tailored to the individual library's need.

3. Opportunity to select material with the book in hand: Traditional selection tools are not as thorough as an approval plan.

4. Cost-effectiveness to the library: Library does not have to process order slips, type purchase orders or do other allied tasks.

5. Better discounts: Discounts are larger due to the volume of business generated. The discounts are also guaranteed.

6. Inflation: There is usually a ten to twenty per cent increase in domestic book prices within six months of publication. Foreign titles increase in price immediately upon publication.

DISADVANTAGES OF APPROVAL PLANS

1. Flexibility: Although well-designed approval plans are quite flexible, they cannot compete with individual firm orders in this respect. An approval plan should not be used as the only means of selection, but rather, to be supplemented by judicious firm ordering.

2. Allocations: A minimum allocation has to be committed to the approval plan to provide comprehensive coverage. Below this level, approval plans do not provide an adequate level of coverage.

THOR TOOL CASE AND APPROVAL PLANS

Publishers' reactions to the Thor Decision may affect the cost and availability of library materials. Scholarly publishing houses will not go back to press for titles which have sold out and will print fewer copies in the first run. Titles will stay in print a shorter time and will be more difficult to obtain, if not purchased immediately after publication. The Thor Decision should prove beneficial to approval plans since that may be the only way to guarantee receipt of an important book.

APPROVAL PLANS IN THE RICHTER LIBRARY

There is presently one approval plan that is received at the Richter Library: the Nursing approval plan. This plan was recently instituted and thus, it is too soon to adequately monitor its performance. There are two plans that are very similar to the approval plan that are presently received by the Library: the University Press plan was instituted in 1978 and has worked succesfully since its inception. The profile is tight and thus very few books have to be returned. The sociology plan was instituted in 1979 and is a plan wherein all sociology titles published by certain presses are automatically received by the Library. Originally the standing order was sent to each individual publisher but severe problems were noted with this approach. The plan has been switched to a single vendor that is handling all the sociology material and is running acceptably at the moment.

NATIONAL TRENDS ON APPROVAL PLANS

Seventy-nine per cent of the libraries responding to a national survey have approval plans. Rejection rates range from one per cent to fifty per cent however the average rate is around eleven per cent.
(From Kathleen McCullough et al. Approval Plans and Academic Libraries. Phoenix: Oryx, 1977.)

APPROVAL PLANS

UNIVERSITY OF MICHIGAN

The approval plan concept took shape in the early 1960s as an aid to collection development and an economical, efficient means of acquiring library materials. After years of evolution in concept and design, approval plans are now being used by many large research libraries, among them Berkeley and Stanford.

Under the University Library's current order system, librarians select materials from citations, reviews, patron requests, etc. Order requests are submitted and searched, firm orders are prepared and mailed, and items are added to the collection on arrival. A number of factors, however, suggest that approval plans are worth careful consideration now: the continuing information explosion, the phenomenon of books going out of print within months of publication, increased demands for reader service, staff cuts, and the imminence of on-line systems which can simultaneously search, order, and control materials.

Under the approval plan system, the librarian and vendor establish a selection profile, specifying those subjects, publishers, levels, formats, etc., which the library is interested in collecting. The vendor is responsible for selecting and supplying upon publication those materials which fit the profile, usually at a favorable discount. Selectors then examine the books and decide whether they should be added to the collection or returned to the vendor for credit.

While selectors may reject items at will, an excessive rate of return nullifies the economic rationale of the system. Those items they do wish to keep are usually charged to a separate approval plan allocation rather than selectors' individual funds.

The success of an approval plan is predicated on a well-drawn profile which will be neither too inclusive nor too exclusive. By now many vendors have developed sophisticated profiling logic with extensive thesaurus terms and descriptors to match selectors' requirements, but librarians and vendors must work together closely in setting the initial profile, revising it as necessary, and monitoring rejected items. Mechanisms must also be established to prevent unwanted duplications and provide added copies where needed.

Ideally, then, material would be selected and searched not from citations but from the book in hand, items would not go out of print while firm orders are being prepared, and patrons would have prompter access. Some savings in time and labor in acquisitions routines might be anticipated, but approval plans are best judged for their worth as a collection-development tool.

Vendor Donald Satisky of Blackwell North America cautions that approval plans are not a panacea and should be approached with reasonable

Reasons and justifications were chiefly spread verbally--through talk about OP problems, decreased staffing, the Thor Power Tool decision, etc., and five vendors gave demonstrations to Technical and Public Services staff.

This piece was designed as a soft-sell encouragement to selectors to opt for participation.

THE UNIVERSITY OF MICHIGAN
LIBRARY NEWSLETTER

APPROVAL PLAN REPORT

The Blackwell North America approval plan for Graduate Library titles has functioned well during its initial phase, according to an analysis of performance data based on receipts through July 15.

To be effective, approval plans must provide neither too much nor too little. Thoughtful profiling by GL staff and BNA's computer capabilities have kept the return rate surprisingly low for a newly-implemented plan, and an on-going project initiated by Linda Storey suggests thus far that the plan indeed supplies the materials which have been selected under the firm-order system.

Of the approximately 800 books received, 15% were returned. Nine percent were duplicated, but about seven percent were the inevitable result of the 1980-81 overlap involved in initiating the plan. This suggests that in 1982 the return rate for duplication might fall to about two percent.

Only six percent of the books received were rejected as being unsuitable for the collection. Expert subject control by GL selectors in profiling was

obvious in analyzing these returns, since in few areas did subject descriptors repeat; that is, the subject as profiled was appropriate for GL, and these were margined materials provided for consideration.

Taken together, the calibrated duplication figure and the figure for appropriateness to the collection total a return rate of eight percent. This is highly encouraging, since ten percent is considered an acceptable rate for a long-standing plan and a much higher return rate usually occurs with newly-implemented plans.

These, of course, are the materials GL did receive. To check on what GL didn't receive, Linda Storey has been reviewing Weekly Records and marking those items she would have selected and firm-ordered. While results are not yet complete, investigation by the Bibliographic Searchers and cross-checking against the profile suggest that in almost all cases the books were either offered, supplied, or eliminated for reasons of format. In only one case was a book not treated at all by BNA.

One basic concern selectors face with approval plans, of course, is whether they can be sure of receiving a particular title. However, BNA has just developed a monthly microfiche, the New Books Status Report, which should alleviate the problem. It lists all the titles BNA has ordered or acquired for its approval plan customers, and specifies which libraries are to receive notification or shipment. The GL selectors now have a subscription, and a second set will soon be available in Book Purchasing.

Response to SPEC Survey

16. General Comments:

I am pleased to respond to the SPEC Survey on Approval Plans, although the survey inquiry appears to assume more formally planned and documented arrangements than generally exist for the variety of plans we have. Many of these plans have been in effect for several decades, and although they are monitored regularly, they are not formally evaluated. Following your guidelines, I have done my best to sort out the necessary data and to arrive at approximate figures based on the activity of the fiscal year 1980-1981. Please keep in mind that the expenditure figures in question #3 are estimates.

Since it is not easy to categorize under a single rubric the myriad procurement arrangements the Library has devised over the years, standing orders, blanket orders, and approval plans have long been lumped together for internal processing purposes at Northwestern. Therefore, it has been necessary to review each such arrangement to determine whether it fits your guidelines as an approval plan. In some cases subjective decisions have been made to exclude a plan which in good conscience we do not believe is an approval plan. One of the major problems we encountered in our attempt to categorize plans was how to treat "standing order" arrangements which are direct with publishers and which permit returns. Do you consider such publishers to be "dealers"? For purposes of this survey, I have included only vendor-based plans and have excluded all arrangements held directly with a publisher.

Our integration of processing also extends to expenditures. While expenditures for approval plans can readily be determined from vendor management reports in some cases (e.g., Baker & Taylor), it has been necessary to review our invoice files in the remaining instances as we have never kept a separate accounting of fund expenditures by type of acquisition. There are no separate funds for approval books. Instead they are paid for from university allocations, grants, gifts, and endowments based on the decision of the selectors who must review each approval item when it is received and assign the appropriate fund. The same funds are used for books acquired via "firm order."

Question #9 requires an answer from us although the format of the questionnaire implies that only libraries without approval plans are expected to respond. Between 1970 and 1975 the library discontinued three approval plans. The first plan discontinued was one with the Abel organization. This occurred in 1970 prior to Abel's failure. The Abel Plan was replaced immediately by a similar publisher based plan with Baker and Taylor. This plan includes most university presses plus a wide variety of commercial houses (currently 275 presses), and it continues to be our main approval plan. At this time no documentation exists concerning the decision behind the change, although the plan's profile is documented in detail. I do know, however, that the Library was very much dissatisfied with Abel's services and supply rate. Baker and Taylor was chosen as a substitute in part because of the proximity of their distribution center in Momence. See the attached selection from the "Acquisitions Policy for the Northwestern University Library" for more on the reasons why it was felt important to maintain an approval plan.

Northwestern (16. General Comment, contd.)

Two science approval plans were tried in the late 1960's and early 1970's -- first with Stacey and then with Baker and Taylor. Once again documentation is lacking on the decision making processes involved with these plans. The Baker and Taylor plan was finally terminated because it was no longer affordable within a limited materials budget.

We have had a lot of experience with approval plans and other similar arrangements and continue to rely on them as an important source of acquisition. They must, however, be carefully monitored by the plan administrator. All vendor-based plans, such as the one with Baker and Taylor, must have carefully planned profiles which can be modified as the needs of the institution change. One must not hesitate to alter or discontinue a plan that does not satisfactorily meet ones needs.

Extracted from:
An Acquisition Policy for the Northwestern University Library--Evanston Campus.
(revised ed., 1972)

I. PRINCIPLES AND GUIDELINES

An acquisition policy per se is a planning document which sets out the general principles and guidelines for collection development and states the budgetary implications of such an acquisition policy. The usefulness of this acquisition policy is not limited to being an internal document but it is also an imperative in the overall planning of the allocation of the total resources available to Northwestern University. Wise allocation of scarce resources means that the University Library must play an active and influential role in planning especially in the areas of curriculum and budget. The University Library is too important to the educational program and too costly as a budgetary fact to be an afterthought in any future planning.

This acquisition policy is a general guide to the building of the collections at Northwestern University--Evanston Campus. It is not an exhaustive inventory even though Part II is an attempt at putting into concrete terms the guidelines and principles of Part I. A much greater wealth of detail concerning particular collections is available from the curators, bibliographers, branch librarians and heads of departments. This document must be revised periodically in order to reflect the changing requirements of the University community and the University Library.

The cost of implementing this acquisition policy is 1.2 million dollars a year with an annual increase of 15 per cent to take care of the increase in publishing of pertinent publications and inflation. This level of funding for collection development does not provide for redressing the neglect of the past nor for the support of new educational activities, new programs, new interdisciplinary centers, new faculty, new courses, significant redirection of existing programs and new grants, i.e. any new activity which will have a calculable impact on the size and scope of existing collections and the funding of new collections requires planning with the Library in order to determine the necessary new costs so that additions can be made to the operating budget in the form of seed money and recurring funding. The rationale for the above has been developed by comparative data and recommendations which are in Appendix I.

The primary responsibility for collection development rests with the University Library. Faculty and students advise on building the collections and specific requests are indeed welcome and to be encouraged. The Library Liaison representative is in contact with the appropriate bibliographer, curator or branch librarian and vice versa to ensure that the Library and its academic community are aware of each other's problems and needs. Senior staff of the Library and other staff members welcome the opportunity to play a very active role within the University particularly in the areas of teaching, research, curriculum and budget where their contribution can enrich the University as a whole by their contribution of a heightened awareness of the central role that the library collections and library services play in the overall educational mission of Northwestern.

To write an acquisition policy requires knowledge of the collections and how they are used by our academic community and beyond. This information is available from the University Library and our academic community. Library Liaison representatives were appointed to work with the bibliographers and other Library personnel in order to facilitate communications between the Library and its immediate academic community. A questionnaire and a supporting packet of materials was circulated to the Library Liaison representatives in hopes of obtaining useful information concerning the adequacy of the collections and their use.

The representatives and the questionnaire were the vehicles decided upon to both facilitate the creation of a channel of communication between the University Library and the faculty and to provide specific information concerning the quality of the present collections, priorities for the future and some ideas of how and by whom the collections are used. The questionnaire was administered by 44 Library Liaison representatives appointed by department chairmen. All of the above was an effort by the Department of Planning, Northwestern University, and the University Library to involve and use the expertise and knowledge of our academic community in helping to write an acquisition policy with planning imperatives.

The information supplied by the questionnaire indicates that the majority of our academic community has little time to devote to collection development or knowledge concerning the collections in the University Library. Actually this is the state of affairs at most universities due to the complexity of the library dimension and more immediate pressures on the academic communities which the university libraries support. The first group of questionnaires were sent to 39 Library Liaison representatives and 2 replies were received by the initial deadline. A second follow-up set of the same questionnaire was sent to 44 Library Liaison representatives and 36 department chairmen which resulted in 18 additional responses. Only 20 of 44 questionnaires were returned. Analysis of the questionnaires from less than half of the teaching departments demonstrates a marked degree of unawareness of the contents of our collections, who uses them, what other resources are available in the Chicago area and the important role of interlibrary loan.

It is the University Library's responsibility to determine how the collections should be planned and developed over time. The University Library is a permanent part of the University's infrastructure supporting the total educational program at Northwestern. Faculty and students in general represent temporary constituencies for specific reasons; a situation which runs counter to planning the development of the collections. Faculty and students however must be consulted and encouraged to supply specific information or recommendations for collection development. No university library can any longer delegate its primary responsibility to another group whose involvement and understanding is much more cursory, fragmentary and rudimentary than that of the library staff. This statement is amply supported by the response and results of our questionnaire. The above situation is dictated to a large degree by the changing nature of the responsibilities of both University Library personnel and our academic community. Our roles have greatly changed. In both instances they are much more complex and all consuming. This division of labor should be recognized as such and adhered to generally with intelligent exchange of information and ideas being always encouraged.

The primary source of information concerning the weakness, adequacy, or strength of the collections is the Collection Development staff of the Library. This group is made up of basically the four bibliographers and the branch librarians who are the liaison personnel with the Library Liaison representatives. Their evaluations of the collections take into account the historical strengths and weaknesses of our collections and the educational program at Northwestern. This assessment of where the collections are and where they should be going is based on the following fundamental principles of collection development.

Library collections especially those in the Humanities and the Social Sciences should build on existing strengths particularly so if the strengths are interdisciplinary and unequalled in quality within the geographical region in which the university is located. Strong collections should be constantly strengthened whether they reflect an immediate academic interest or not. Library support for new courses, new programs, and new faculty must be understood from at least two major planning alternatives.

(1) If there are strong collections and programs in the Chicago area then there is a prima facie planning imperative to start what is new at Northwestern with the understanding and consent of all concerned that the resources in the Chicago area will have to support these programs. A good example to illustrate

the above is the interdisciplinary Center for Medieval Studies, a new program at Northwestern. Over the years the Library has acquired sufficient material in the various disciplines to insure a basic quality for some aspects of Medieval Studies. However, we could never build to strength Medieval Studies at this late date without enormous cost and duplication of resources in the Chicago area. Therefore the Center has agreed in principle to using in-depth and unusual resources available in the Chicago area and not duplicating them in the collections at Northwestern. The Library will be responsible in Medieval Studies for the basic secondary sources and a few primary sources.

(2) The obvious alternative to using heavily the resources in Chicago for new programs, assuming other research libraries will allow us to use their resources at an increasing rate, is a substantial on-going commitment by the University to build to the necessary level of quality the library resources to support what is new in our overall educational program. This either/or proposition directs itself to the reality that there are only finite funds available to the University Library and by extension to the University at large. Adequate planning of the use of scarce resources requires a commitment to as little duplication of collections and programs as possible unless a conscious planning decision has been made which explicitly states that certain new programs, courses and faculty are necessary and special monies will be made available to build quality library resources over a long period of time.

In summary the Library has said that the University should not plan new programs, new courses, or hire new faculty if there isn't additional monies for library resources. If the University still wishes to create new programs and not provide additional funding for library support then it is understood that the University intends for these new programs to acquire the necessary intellectual sustenance from other local research libraries or by lack of adequate funding that these new programs do not need library support and that a meaningful support level from the University Library system is not expected and will not be forthcoming.

II. THE MECHANICS OF ACQUISITION

Generally speaking two types of library materials are purchased:

1. Books, serials, and periodicals currently being published.
2. Out of print books, serials, and periodicals.

The greater part of the book budget is spent on current publications upwards of 80-85%. Good coverage of scholarly materials means less purchasing of out of print materials which are much more costly. How are currently published books acquired? A method used by most major university libraries is the standing order, blanket order, or approval plan. The goal is to receive automatically new books of scholarly value in the social sciences, humanities and sciences and engineering as soon as they are published rather than selecting each individual title-a labor intensive task which results in longer delays in materials arriving in the library. So goes the argument. However, a closer look at reality indicates that the major jobbers even those which specialize in supplying books and periodicals for universities and colleges are slow. They argue that they are prisoners of the anarchic distribution system of the publishing industry.[1]

So indeed they are and so are we. The usual protestations from faculty and students regardless of which university library, is that the library is remiss in not having purchased in the past a particular book or periodical or that it takes far too much time before a new title is available in the library. These complaints relate to the irresponsibility of the academic community, faculty and students alike, who lose, mutilate, steal or do not return on time books and periodicals on the one hand and who on the other hand do not have sufficient motivation or knowledge in using library services to determine whether a new title is in the library or not. Let me give an example of this lack of awareness which is burdensome and wasteful to the academic community and to the Library. Every year more than 5000 book requests are returned to faculty and students because the books are already on order or in the Library. Many of these book requests are marked Rush. It seems unfortunate to the Library to spend $5000 a year (5000 searches at $1.00 a search) of staff time on books which are already in the Library or on order. The Library is working toward establishing standing orders of various kinds with jobbers and publishers to insure relatively automatic receipt of new titles in the Social Sciences, Humanities, Sciences and Engineering as soon as they are published. The procedure already exists for American, English and Canadian university presses, i.e. the Library receives automatically one copy of every new scholarly title in the Social Sciences and Humanities published by a university press. Major goals of the University Library are to achieve a print out of our standing orders to series, publishers, and genres of materials and distribute this list to interested faculty. As soon as the automation of the acquisition process is achieved it will be possible to generate a status report on a book requested by a faculty member or a student as well. This means you will know within a very short time the disposition of your book request. This reporting procedure will be operative for those monographs and serials which are chosen from antiquarian catalogs and not for currently published material covered by one of the standing orders. The other problem that the academic community is usually concerned about is the inordinate amount of time that is required for a title to be received by the Library. The major reason for those books which in fact do come in slowly is the lack of responsiveness and the inability of book suppliers to get materials quickly. The deterioration of the U.S. Mail Service and the increasing rate of dysfunction in communication and transportation within the major metropolitan areas in the U.S. has significantly affected the ability of the Library to acquire materials as soon as possible. However, it must be stated that many complaints are in fact the result of misinformation. The Library seeks to search and place orders as fast as possible given our resources. Delays in receipt of materials relate to books announced and not yet published and the aforementioned problems with the publishing industry and jobbers. The Library constantly searches for new jobbers and new avenues of approach for getting materials as fast as possible.

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[1] For an excellent overview on the mechanics of acquisition see Veaner, Alan B. The Administration of Acquisition and Exchange, a paper presented at the Japan-U.S. Conference on Libraries and Information Science in Higher Education. Tokyo, May 16-19, 1969. This paper is Appendix II.

Books and periodicals are requested on order forms which are obtainable from your Library Liaison representative, the bibliographer for your subject or from the Search Department of the Division of Technical Services. Book order requests can be submitted through any of the above channels.

It is important that faculty and students work through the established machinery, i.e. one of the following three contact people:

1. Library Liaison representative for your department; 2. Collection Development Staff; 3. the Search Department itself. This is necessary to ensure expeditious handling of your book request and also to afford the opportunity to the Library, the faculty member and the student to become more acquainted with each other's needs, problems and satisfactions as regards the book collections.

In summary the mechanics of acquisition are: 1. The Library through its various standing order programs seeks to purchase all new scholarly materials relevant to our programs. 2. Out of print materials in the Social Sciences and Humanities are ordered primarily on the initiative of the bibliographers, curators, and faculty. Retrospective buving for the Sciences and Engineering is usually limited to journals. The Sciences and Engineering are more interested in current materials and require much less historical material than the Social Sciences and Humanities. 3. The Library personnel directly involved in building the collections are as follows:

Dr. Scott Bennett

1. ~~Dr. Richard Press~~: Assistant University Librarian for Collection Development.

2. Mr. Robert Baumgartner: Documents Librarian

3. Ms. Leslie Bjorncrantz: Curriculum Laboratory Librarian

Joanne Boelke

4. ~~Ms. Elizabeth Butler~~: Core Librarian

5. ~~Ms. Elizabeth Furlong: Head, Search Department~~

Brian Nielsen

6. ~~Ms. Dorothy~~-Gray: Head, Reference and Bibliography Department

7. Mr. Ben Jacobson: Assistant University Librarian for Branch Libraries

Daniel Britz

8. ~~Mr. Robert Koester~~: Bibliographer, Melville J. Herskovits Library of African Studies

9. Mr. Thomas Mann: ~~Acting~~ Social Sciences Bibliographer; ~~as of February 1, 1972, the Social Sciences Bibliographer will be Mr. William Jones~~.

10. Mr. Thomas Mann: Slavic Bibliographer

Robert Michaelsen Science

11. ~~Ms. Lynne Masters~~: ~~Acting Tech~~ Librarian

12. Mr. Russell Maylone: Curator of Special Collections

13. ~~Ms. Ellen Miskoll~~: Serials Librarian

Ross Atkinson

14. ~~Mr. Richard Olson~~: Humanities Bibliographer

15. Mr. Hans Panofsky: Curator of the Melville J. Herskovits Library of African Studies

16. Mr. Donald Roberts: Music Librarian

17. Ms. Mary Roy: Transportation Center Librarian

18. ~~Ms. Ruth Spaecker: Science Librarian~~

Patrick Ashley

19. ~~Mr. Vladimir Zernov~~: Head, Acquisitions Department

Richard Olson, Art Librarian

Paul Saenger, Historical Studies Bibliographer

In addition to the above Library personnel each teaching department has a Library Liaison representative whose major responsibility is to communicate to the appropriate Library personnel the needs and problems of the department vis-a-vis the development of the book collections.

III. COLLECTION DEVELOPMENT PRIORITIES--NORTHWESTERN UNIVERSITY LIBRARY

There are three basic priorities in building the collections in this University Library as well as at most major university libraries.

The first priority in selection and expenditure of book funds is for library materials needed for the day to day preparation and supplementation of the curriculum. For both undergraduate and graduate courses it is obviously necessary that the Library have the basic quality in the standard, classic and current literature in those academic fields listed in the University Bulletin together with a reasonably complete coverage of the journal literature. Thus the first priority must be assigned to the instructional needs of Northwestern.

The second priority is given to the strengthening of the general bibliographical and reference collections because it is these collections that support student and faculty needs beyond the curricular requirements. Actually the sense of the term curricular requirements has noticeably changed because of more sophisticated students, better teaching and more independent study. There is no discernible dividing line between priority one and two today. They are parts of a continuum labeled a university education. Priorities one and two provide the minimal library support for a university curriculum.

The third priority in collection development at Northwestern is building to distinction a select number of collections. This category of collections defines what a university library is versus what a college library is. Collections of distinction are a logical and vital part of any university educational program. These collections provide the means for significant teaching and research within our own academic community and provide our contribution to the national network of research libraries of which this university library is an integral part.

These three priorities can be correlated to five levels of collecting. Levels A,B,C equate to priorities one and two and levels D and E equate to priority three.

The following five levels of completeness may be used as a basis for faculty and library staff evaluation of existing university collections, and as a guide to acquisitions:

A. A basic information collection, appropriate in the subject which fal outside the scope of present instruction, yet within which readers may need minimum library service to aid their understanding of material properly within the scope of their studies;

B. A working collection, which is a collection adequate to convey existing knowledge of the subject in broad outline, including its main historical aspects, and thus sufficient for the needs of undergraduate courses;

C. A general research collection, which is adequate for the needs of graduate students in the subject, since it includes the major portion of the materials required for dissertations and other independent research;

D. A comprehensive collection, which embraces all the materials of the general research collection, plus a wider collection of books and periodicals having value for current research, and additional works for historical research in the subject, in all pertinent languages, though not necessarily in all editions, or in translation, with inclusion of considerable documentary and original source material.

E. An exhaustive collection, which endeavors, so far as is reasonably possible, to include everything written on the subject, in all languages, of all time, in all editions and translations.

In the final analysis there is no clear demarcation line at a major university separating priority three from priority one (instructional needs) and priority two (reference and bibliographical support). In terms of the book budget, priorities one and two account for 85-90% of total expenditures.

IV. GUIDELINES AND INFORMATION ABOUT THE GENERAL DIRECTION OF COLLECTION DEVELOPMENT AT NORTHWESTERN UNIVERSITY LIBRARIES--EVANSTON CAMPUS

Detailed information about the collections is available from the Library personnel listed on page 9 and in Part II of this document.

A. Engineering and the Sciences. Northwestern has a tradition of excellence in the fields of engineering and science. The collections until recently were just about able to support these programs. However, new programs, including the dramatic shift to interdisciplinary orientations, redirection of existing programs, a successful and ever expanding SDI service, a new and broad interest in the History of Science and Technology and inflation have greatly compromised the ability of the Tech Library and the Science Libraries to perform adequately their mission.

#2. Other

Allied health sciences - 1

International studies - 6 (4 of the dealers mark their selections in catalogs/national bibliographies which our bibliographers review and return to the dealer with their notations as to which titles should be sent - see copies of Japanese and Chinese bibliographies attached).

#6. Advantages of approval plan

General comments:

1. Speed of delivery for many titles
2. Identification of materials, particularly titles from small publishers who do not advertise widely and from foreign sources
3. Vendor-produced bibliographic slips for processing
4. Review and return privileges
5. Forced review of collection policies and practices through periodic analysis of profile and vendor-produced management reports
6. Forced dialogue between Acquisitions staff and selecting librarians/teaching faculty in review and analysis of profiles and vendor performance

Comments applicable to selected plans:

7. Discount, both on titles sent, duplicates ordered, and titles handled in the plan (7 plans)
8. Tie-in with automated acquisitions system which identifies approval titles and gives coding (1 plan)
9. Magnetic tape of bibliographic data which is added to LCS, our internal catalog and in-process automated record system (3 plans)
10. Microfiche of titles handled by the dealer with information regarding treatment of the title (2 plans)
11. Vendor-produced management reports, (2 plans) Examples of reports: information on titles sent as books, slips, or considered not appropriate for our plan; number of titles per subject shipped/returned within given period; pricing information

#7. Disadvantages of approval plan

1. Uncertainty of coverage, even with a microform record of what titles the vendor is handling, causing duplicate work for acquisitions staff

2. Slowness of delivery for many titles

3. Foreign/U.S. simultaneous imprints, causing duplicate shipments

4. Communication problems--language differences in the case of some foreign dealers; bureaucracy in the case of large dealers

5. Scope of plan limited by dealer's organizational structure, preconceptions of what an academic library should collect (title by title decisions as well as specific subjects, levels, and publishers), state of technological advancement (i.e., the dealer's ability to produce magnetic tapes, microfiche, management reports, and even multiple slips), internal policies (e.g. certain publishers/titles are "non-returnable" or not to be handled at all)

6. Amount of time required, both professional and support staff, to monitor a pla

#12.

Three recent informal surveys:

1. Allied health plan - A comparison of shipping dates of 106 titles supplied on our allied health plan revealed that our general domestic dealer shipped 7% of the titles before the medical dealer, 45% in approximately the same time period, 14% three to five months later, 24% not shipped six months later, and 10% not in their system (according to their microfiche).

2. Publisher approval plan - 242 titles were surveyed, revealing that the publish supplied 132 (54.5%) on our approval plan, and our general dealer handled 213 (88%) of them; our local exclusions were not taken into consideration, in looking at the general dealer's handling, so their rate of actual supply to us would be less than the 88%.

   A comparison of shipping dates of the two plans showed that the general vendor processed 12% of the titles before the publisher, 33% within a month of the publisher, 42% after, 8% are still not shipped as long as 5-15 months after the publisher's supply date, and 4% are not in the vendor's microfiche record at this time.

3. OCLC holdings - Of 560 titles supplied by our general vendor, 9.5% were not yet on OCLC, 29% had 10 or fewer holdings, 27% had 10-29 holdings, another 29% had 30-100, and 5.5% had over 100 holdings.

6. What are the advantages of approval plans for the library?

1. The primary advantage is the rapid receipt of high use academic materials.
2. This approach eliminates the need for title-by-title selection for those categories of material covered by the plan.
3. It reduces the amount of bibliographic verification needed since pre-order searching is eliminated and post-receipt search can be abbreviated.
4. By earlier identification of materials needed, the library is better assured of receiving titles which might become out-of-print quickly, such as art exhibition catalogs.
5. Presumably the dealer is able to provide more consistent comprehensive coverage than the collection development officer is able to do because even though both use many of the same selection tools, the dealer has the advantage of direct communication with the publishers.
6. If comprehensive coverage is required, the collection development officer can assure faculty members that a broad class of materials is being received on a regular basis.
7. By defining a class of material which is to be received regularly, the library also makes definition of cooperative arrangements with other institutions easier.
8. The selection of material can be based upon the book in hand rather than upon a bibliographic description or review. This, of course, is true only for those items selected and sent by the dealer.
9. The process of establishing an approval plan forces the collection development officer to analyze, evaluate, and articulate the library's collection development policies, at least in that area.
10. If the dealer is able and willing to provide packs with the material, it saves those libraries with manual systems from having to create bibliographic records for the titles received.
11. Discount can be higher than firm orders.

7. What are the disadvantages of approval plans for the library?

1. Bibliographic Control

There is little, if any, bibliographic control prior to receipt of the material. This can lead not only to inadvertent duplication but also may result in changed relationships between holdings.

2. Work Flow

Separate routines must be set up to handle approval plan materials. These routines must be integrated with those for firm orders, gifts, standing orders, etc., which, of course, adds to the complexity of the work situation.

3. Cataloging Copy

If the approval plan works well, material is acquired prior to or near publication - before cataloging copy becomes available. This results in double-handling of the material. Also the material without copy may be backlogged indefinitely until the staff has time to search for the copy again.

4. Monitering

If the approval plan is not working well, the collection development officer must spend time identifying missing material and claiming it.

5. Unnecessary Material Acquired

The collection development officer may tend to keep titles that he/she would not ordinarily have chosen.

6. Communication

Communication becomes complicated because external as well as internal must all receive the same messages and must have the same understanding regarding the library's needs.

7. Dealer's Situation

The library is subject to the vicissitudes which occur to the dealer being used for the approval plan. For example, if the dealer switches to an automated system, the library must suffer through the difficulties of a transition. Using the approval plan approach limits the Order Librarian's flexibility to respond to inadequate service. For example, if a dealer appears to be experiencing financal difficulties, the Order Librarian may switch firm orders to another dealer . The same change is not so easy with an approval plan because a greater commitment is made. Another disadvantage is that it limits the flexibility an acquisitions librarian has to provide an equitable mix of orders (trade to counterbalance non-trade, esoteric materials) to firm order deaelrs.

16. General Comments

Factors Assuring Success

In order for an approval plan to "work well", several elements are absolutely necessary:

1. A carefully and thoroughly prepared profile of the library's excpectations with explicit details regarding any exclusions or limitations.
2. Good channels of communication between the library and the deaelr.
3. Adequate documentation, preferably revised profiles rather than numerous addenda.

Benefits /Cost

It is not clear that the approval plan approach is actually more efficient and less costly than firm ordering. Time saved at one point in the work flow may well just be transferred to a later step, thus saving little or no time at all. A well designed comparative study of firm versus approval plan would be very interesting had we the time. Given our current workload, hwever, we must assume that regular delivery of approval plan material means that "it's working."

Selection

One problem area is that of titles not selected by the dealer. Often the collection development officer will identify a title which appears to be within the scope of the plan. The he/she will conscientiously inquire as to whether the material will come. These claims would not be necessary if the dealer could inform the library of titles not selected and the reasons.

Bibliographic Control

If a library uses several approval plans to gather material, the bibliogrphic control becomes increasingly complex. For example, dual imprints or distributed titles often escape detection as approval plan material hence leading to duplication. The dealer can assist in coping with this problem by providing notification forms for the library. However, this delays the receipt of the material as well as creating additional paperwork for the deaelr. For these reasons, fewer more comprehensive plans are preferable to several smaller ones.